PROJECT MANAGEMENT GUIDELINE

APPENDIX B – COMMONWEALTH PROJECT MANAGEMENT DOCUMENT TEMPLATES

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Project Initiation Templates

Project Analysis Worksheet Instructions

A. General Information – Basic information that identifies the project.
Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date Prepared – The date this document is initially prepared.

B. Project Purpose – The purpose of a project is to solve a business problem. Explain the business reason(s) for doing this project. In this section, describe the business problem, business impacts, business objectives, and the constraints associated with the proposed project.

1. ***Business Problem*** – A question, issue, or situation, pertaining to the business, which needs to be answered or resolved. State in specific terms what problem or issue this project addresses. Often the business problem is reflected as a critical business issue or initiative in the Agency's Strategic Plan or Information Technology Strategic Plan.
2. ***Project Business Objectives*** – A desired result produced by a project that answers or resolves the business problem. Define the specific business objectives of the project that correlate to the strategic initiatives or issues identified in the Commonwealth or Agency's Strategic Plan. Every business objective must relate to at least one strategic initiative or issue and every initiative or issue cited must relate to one project business objective. The project charter communicates this information to ensure that all stakeholders understand the relationship of the project to the Strategic Plans of the organization. During the planning phase, the objectives serve as a foundation for development of project performance measures known as measures of success.
3. ***Core Business Activity Impacted*** – Core Business Activities are agency defined cross-functional processes that produce the agency's primary products and services, or support their production. List the Core Business Activities impacted by the project and identify the impact.

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4. ***Constraints* –** Constraints are items that by their nature restrict choice. Identify constraints that will influence the selection of a solution to resolve the business problem. Constraints can include but are not limited to: time, funding, personnel, facilities, and, management limitations.

C. Preliminary Project Description - A preliminary description of the project approach. The approach is the overall strategy for solving the business problem. The Preliminary Project Description is derived from the Project Description Statement and Section B, Project Purpose. This description establishes the framework for identification of potential solutions. This section does not describe a specific solution. Solutions are identified, analyzed, compared, and selected in subsequent parts of this document. Expand the size of the box provided if needed.

D. Solution(s) Analysis Part I – Describe each potentially viable solution, and evaluate the solution against the decision criteria. Duplicate the Evaluation Process (D.1 thru D.2.e and including the question after 2.e) for each solution being considered. Provide a Solution Identifier for each solution (ie: A, B, …or 1, 2...) and a brief title in Short Solution Title to easily identify each solution.

5. ***Description of Solution* –** In the box provide a brief description of the solution being considered. The description should include enough detail to provide a clear understanding of what the solution will do and differentiate it from the other solutions being considered. Also, describe how this solution will resolve the business problem defined in Section B.
6. ***Decision Criteria*** - The decision criteria below are recommended for evaluation of each potential solution. Additional criteria may be added when needed. It is essential that all solutions be evaluated against the same set of criteria.
   - ***a)*** *Business Process Impact* – Describe how the potential solution will impact the current business processes and what degree of organizational change and stakeholder resistance is anticipated.
   - ***b)*** *Technical Feasibility* - Describe any special considerations such as technical experience required for project team members. Also, describe the level of technical complexity associated with the solution.
   - ***c)*** *Maturity of Solution* - Describe the level of technical maturity for the potential solution. The description should address how technically proven the potential solution is, for example: Is the solution a recent innovation? Has it fully matured? Is it nearing obsolescence? Are service and expertise readily available to support the potential technical solution?
   - ***d)*** *Resources Estimate* – Estimate all the resources required to implement the solution. Resources include personnel, facilities, customer support, equipment, and any other resources needed to implement the solution.
   - ***e)*** *Constraints Impact* – Describe how well the solution fits within the identified constraints in Section B. Specifically address any time or schedule constraints.

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Answer YES or NO to the question: Based upon decision criteria 2.a-2.e, is the potential solution a viable solution? If YES, continue to Section E (Solution Analysis – Part II). If NO, discard solution.

E. Solution(s) Analysis Part II – ONLY if a potential solution remains viable after analysis of the criteria in D.2.a–e above, perform a Cost Benefit Analysis for the solution and calculate Return on Investment. Section 2, Project Initiation, of the Commonwealth Project Management Guideline provides additional detail on Cost Benefit Analysis and Return on Investment. Duplicate the Solution(s) Analysis Part II (E.1 thru E.2) for each viable solution. Remember to enter in the unique Solution Identifier and brief title in Short Solution Title for each solution.

1. ***Cost Benefit Analysis Summary*** – Present a summary of Cost Benefit Analysis for this solution. See Project Initiation (Section 2) of the Project Management Guideline for instructions on Cost Benefit Analysis.
2. ***Return on Investment (ROI) Summary*** – Present a summary of the estimated value of the solution in terms of an investment. There are several ways to calculate Return on Investment (ROI) any are acceptable but the **same method must be used for all solutions analyzed**. See Project Initiation (Section 2) of the Project Management Guideline provides instructions on Return on Investment Calculations.

F. Comparison of Solutions – Enter the unique Solution Identifier in boxes that are shaded. Based on the analysis performed, rate how each solution measured up against the decision criteria used for the analysis. A recommended rating scale is: 1 = Very Poor, 2 = Poor, 3 = Fair, 4 = Good, 5 = Very Good. If a decision criterion is more important than others, weights may be assigned to each criterion to reflect the level of importance. Once the ratings for all the solutions are complete, compare and contrast the analysis and ratings for each of the solutions to the others. Identify the solution that best satisfies the previously reviewed criteria. Summarize the results and identify the solution that best satisfies the decision criteria. Many methods may be used, but the weighted matrix evaluation table is recommended. See Project Initiation (Section 2) of the Project Management Guideline to provide additional detail on comparing solutions using the weighted matrix evaluation table.

G. Preliminary Recommendation – Describe the recommended solution and provide a summary of the rationale for selecting it.

1. ***Recommended Solution*** – Specify the solution selected based on the analysis. Use the description previously provided in Section D of this document. Enter in the unique Solution Identifier and Title of the recommended solution in the appropriate areas.
2. ***Recommended Solution Justification*** – Explain how and why the solution was chosen over the other solutions considered.

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H. Decision - Document the decision of the project sponsors or designated agency manager regarding the recommended solution. If the solution is accepted, a project proposal is developed.

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Project Analysis Worksheet

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title - The working name or acronym that will be used for the project; Proponent Secretary - The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date Prepared - The date this document is initially prepared.

Project Title:		***Project Working Title:***	
Proponent Secretary:		***Proponent Agency:***	
Prepared by:		***Date Prepared:***	

B. Project Purpose

Explain the business reason(s) for doing this project.

1. Business Problem

The Business Problem is a question, issue, or situation, pertaining to the business, which needs to be answered or resolved. State in specific terms the problem or issue this project will resolve. Often, the Business Problem is reflected as a critical business issue or initiative in the Agency's Strategic Plan or Information Technology Strategic Plan.

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2. Project Business Objectives

Define the specific Business Objectives of the project that correlate to the strategic initiatives or issues identified in the Commonwealth or Agency Strategic Plan. Every Business Objective must relate to at least one strategic initiative or issue and every initiative or issue cited must relate to at least one project Business Objective.

Commonwealth or Agency Strategic Plan – Critical Issues	***Project Business Objectives***

3. Core Business Activity Impacted

Core Business Activities are agency defined cross-functional processes that produce the agency's primary products and services, or support their production. List the Core Business Activities impacted by the project and identify the impact.

Agency Core Business Activity	***Impact on Core Business Activity***

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4. Constraints

Constraints are items that by their nature restrict choice. Identify constraints that will influence the selection of a solution to resolve the business problem. Constraints can include but are not limited to: time, funding, personnel, facilities, and management limitations.

C. Preliminary Project Description

Provide a preliminary description of the project approach, the customer(s) served, and expected benefits. The approach is the overall strategy for solving the business problem. The Preliminary Project Description is derived from the Project Description Statement and Section B, Project Purpose. (This description establishes the framework for identifying potential solutions.)

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D. Solution(s) Analysis – Part I

Describe each potentially viable solution, and evaluate the solution against the decision criteria described below in D.1 thru D.2.e. Duplicate the Evaluation Process (D.1 thru D.2.e) for each solution being considered.

1. Description of Solution

Provide an identifier and a brief title of the potential solution. The description should include enough detail to provide a clear understanding of the solution and should differentiate it from the other potential solutions. Also, describe how the solution will resolve the Business Problem defined in Section B of this document.

Solution Identifier ______ **Short Solution Title** ______________________________

Solution Description and Detail

2. Decision Criteria

The following Decision Criteria are recommended for evaluation of each potential solution. All potential solutions must be evaluated against the same set of Decision Criteria. Additional Decision Criteria may be used, if needed.

a) Business Process Impact

Describe how the potential solution will impact current Business Processes and the degree of organizational change and stakeholder resistance anticipated.

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b) Technical Feasibility

Describe any special technical considerations that would be required to implement the potential solution, such as technical experience required for project team members. Also, describe the level of technical complexity of the solution.

c) Maturity of Solution

Describe the level of technical maturity for the potential solution. The description should address questions such as "Is the potential solution technically proven or a recent innovation? Has the technology solution being proposed fully matured? Is it nearing obsolescence? Are services and expertise required to support the potential technical solution readily available?

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d) Resource Estimate

Estimate all the resources required to implement the solution. Resources include funding, personnel, facilities, customer support, equipment, and any other resources needed to implement the solution.

Resource	***Requirement(s)***
Funding	
Project Team	
Customer Support	
Facilities	
Equipment	
Software Tools	
Other (Be specific)	

e) Constraints Impact

Describe how the solution fits within the constraints identified in Section B. Specifically address any time or schedule constraints.

Based on decision criteria 2.a-2.e, is the potential solution a viable solution? ____YES _____NO

If yes, continue to Section E (Solution(s) Analysis – Part II).
If no, discard solution.

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E. Solution(s) Analysis – Part II

Solution has been proven viable. Perform a Cost Benefit Analysis for the solution and calculate the Return on Investment. Provide a summary of the results below. A Cost Benefit Analysis and Return on Investment must be performed for each viable solution. Duplicate Solution(s) Analysis - Part II (Section E) for each solution being considered.

Solution Identifier ______ **Short Solution Title** ____

1. Cost Benefit Analysis Summary

Summarize the results of the Cost Benefit Analysis for this solution. See Project Initiation (Section 2) of the Commonwealth Project Management Guideline for information on how to perform a Cost Benefit Analysis.

2. Return on Investment (ROI) Summary

Summarize the estimated return achieved as a result of the investment made and explain the ROI method used. There are several ways to calculate ROI. Any method is acceptable but the same method must be used for each solution analyzed. See Project Initiation (Section 2) of the Commonwealth Project Management Guideline for instructions on Return on Investment Calculations.

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F. Comparison of Solutions

Based on the analysis performed, rate how each solution measured up against each decision criterion. A recommended Rating Scale is: 1 = Very Poor, 2 = Poor, 3 = Fair, 4 = Good, 5 = Very Good. Compare the rating results to determine which solution to recommend. Enter in the Solution Identifier in Boxes that are shaded.

Decision Criteria	*Solutions*						
Business Process Impact							
Technical Feasibility							
Maturity of Solution							
Resources Required							
Constraints Impact							
Cost Benefit Analysis							
Return on Investment							
Other							
Total Score							

G. Preliminary Recommendation

Describe the Recommended Solution and provide a summary of the rationale for selecting it.

1. Recommended Solution

Specify the Recommended Solution selected as a result of the analysis. Use the description previously provided in Section D of this document.

Solution Identifier ______ **Short Solution Title** ______________________________

2. Recommended Solution Justification

Explain why the Recommended Solution was chosen over the other solutions considered.

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H. Decision

Document the project sponsor's or designated agency manager's decision regarding the Recommended Solution. If the Recommended Solution is accepted, a Project Proposal is developed.

__ Accepted	***__ Rejected***	***__ On Hold***	***__ Requesting More Information***

Approved By:

Name: ____

Title: ____

Date: ____

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Project Proposal Instructions

A. General Information – Basic information that identifies the project.

Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date Prepared – The date this document is initially prepared.

Answer the following questions with a Yes or No and provide a brief response as appropriate.

Is this an updated Project Proposal Document? If yes, what is the reason for this update?
Is this a follow-on to a previous project? If yes, what is the project name and date of completion?
Will the project deliverable(s) replace a current asset or group of assets? If yes, what is being replaced?
Is the Project Initiation Phase efforts funded? If yes, what is the amount of funding?
Is the Project Planning Phase efforts funded? If yes, what is the amount of funding?

Points of Contact – List those principal individuals that may be contacted for information regarding this project in the initiation phase. Provide the title, name, organization, phone number, and email address of the following individuals:

Project Sponsor - An individual, usually part of the organization management team, who makes the business case for the project. This individual usually has the authority to define project goals, secure resources, and resolve organizational and priority conflicts.
Program Manager – The individual responsible for the management and coordination of a group of related projects that will include the project being proposed.
Project Manager (Designee) - The individual appointed and given responsibility for management of the project.
Proponent Cabinet Secretary - The appointed secretary to whom the agency responsible for the project is assigned.

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<u>Proponent Agency Head</u> – The appointed head of the agency responsible for the project.
<u>Customer (User) Representative(s)</u> – Someone designated to represent the ultimate users of a product or service.
<u>Other</u> – Any person, not listed above, who may be contacted about this project.

B. Project Purpose - The purpose of the project is to solve a business problem. Explain the business reason(s) for doing this project. This section describes the business problem, business impacts, business objectives, and the constraints associated with the proposed project. If the Project Analysis Worksheet was completed for this project, the Project Purpose (Section B) from the worksheet provides information to support completion of this section.

1. ***Business Problem*** - A question, issue, or situation, pertaining to the business, which needs to be answered or resolved. State in specific terms what problem or issue this project will resolve. The business problem is often reflected as a critical business issue or initiative in the Agency's Strategic Plan or IT Strategic Plan.
2. ***Project Business Objectives*** – A desired result produced by a project that answers or resolves the business problem. Define the specific business objectives of the project that correlate to the strategic initiatives or issues identified in the Commonwealth or Agency Strategic Plan. The project business objectives should reflect the desired result(s) produced by the project that answers or resolves the stated business problem. Every business objective must relate to at least one initiative or issue and every initiative or issue cited must relate to at least one project business objective. During the planning phase, the objectives serve as a foundation for development of project performance measures known as measures of success.
3. ***Core Business Activity Impacted*** – Core Business Activities are agency defined cross-functional processes that produce the agency's primary products and services, or support the production of the products or services. List the Core Business Activities impacted by the project and identify the impact.
4. ***Constraints*** - Constraints are those things that by their nature restrict choice. Identify constraints that will influence the selection of a solution to resolve the stated business problem. Constraints can include but are not limited to: time, funding, personnel, facilities, and management limitations.

C. Project Description – Describe the project approach, the specific solution, customer(s) served, and expected benefits. The approach is the overall strategy for solving the business problem. The solution should identify in specific terms how the project is accomplished and include information about the general timing and cost of major procurements or purchases. If the Project Analysis Worksheet was completed, the Preliminary Project Description (Section C) and the Recommendation (Section G) on the worksheet provide information to support development of the project description.

D. Strategic Justification - Identify how the project is consistent with the Commonwealth and Agency Strategic Plan or IT Strategic Plan. If the project is not consistent, explain

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why the project is being proposed. Answer the questions below in the space provided on the form. Attach detailed explanations and analysis as appendices.

1. ***Briefly, describe how this project supports or is consistent with the Commonwealth of Virginia Strategic Plan for Technology.*** - Cite the specific initiative in the plan supported by the project. If it does not support the Commonwealth of Virginia Strategic Plan for Technology, explain why this project proposal is being submitted.
2. ***Explain where and how this project is identified in the Agency IT Strategic Plan most recently approved by The Secretary of Technology.*** - Cite the specific reference in the plan where the project is identified. If it is not identified, explain why this project proposal is being submitted.
3. ***Briefly, describe how the planned solution complies with Commonwealth Enterprise Architecture Standards.*** - If it does not comply with the Commonwealth Enterprise Architecture Standards, explain why this project proposal is being submitted. If it does not comply with the Commonwealth Enterprise Architecture Standards, explain why this project proposal is being submitted, and identify which Commonwealth Enterprise Architecture Standard(s) are not being met.

E. Estimated Project Development Schedule (Major Milestones) - Identify the estimated start date and duration of major project activities or milestones such as when the project will be chartered, when the detailed project plan will be completed, when the project will be started, when the project will be completed, and when the project is expected to be closed out.

F. Financial Estimate – The assets used or consumed during the execution of the project are identified in this section. Resources include funding, personnel, facilities, software tools, equipment, and customer support. Additionally, this section provides economic justification for the project. The completed budget tables identify estimated funding and expenditures required for this project as well as funding requirements to operate or maintain the asset(s) developed by the project.

1. ***Cost Benefit Analysis Summary*** - Answer the following questions in the spaces provided. Attach detailed analysis as appendices.
   - ***a)*** <u>Summarize the results of the Cost Benefit Analysis</u> (Attach Cost Benefit Analysis as Appendix A). Explain how the monetary and non-monetary benefits validate the expenditure of resources for this project.
   - ***b)*** <u>Summarize the results of the Return on Investment Analysis</u> (Attach detailed Return on Investment Analysis as Appendix B). If the project return on investment does not have a positive expected ROI, explain why this project proposal is being submitted.
2. ***Estimate of Execution Expenditures and Funding*** - Provide an estimate of project expenditures and funding for each fiscal year in the tables provided. The categories provided include internal staff labor costs and an allocation for contingencies (specifically risk mitigation). Internal staff labor costs include the salaries and benefits of employees assigned at least part time to the project. The Comments column is provided for additional explanation or clarification of estimated values.

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3. ***Estimate of Operations Expenditures and Funding*** - Provide an estimate of expenditures and funding for operations and maintenance of the asset(s) delivered upon project completion. The estimate should span the anticipated life of the asset. The categories provided include internal staff labor cost and an allocation for contingencies (specifically risk mitigation). Internal staff labor costs include the salaries and benefits of employees assigned at least part time to the project. The Comments column is provided for additional explanation or clarification of estimated values.

G. Project Risk – Use the preliminary risk analysis worksheet to develop this information and attach it as Appendix C. Circle the appropriate risk level and record the risk score for each risk item. At the bottom, provide the Total Risk Score. The preliminary risk analysis worksheet identifies the specific numerical score for each category with a risk level.

H. Approvals – The project sponsor and Agency Head approve the proposal. If the Agency Head's signature is the only one present, the Agency Head is assumed to also be the project sponsor.

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Project Proposal

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title - The working name or acronym that will be used for the project; Proponent Secretary - The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date Prepared - The date this document is initially prepared.

Project Title: ______________________ ***Project Working Title:*** ______________

Proponent Secretary: ______________________ ***Proponent Agency:*** ______________

Prepared by: ______________________ ***Date Prepared:*** ______________

Answer the following questions by marking Yes or No and provide a brief response as appropriate.

	Yes	***No***
Is this an updated Project Proposal Document? If yes, what is the reason for this update?		
Is this a follow-on to a previous project? If yes, what is the project name and date of completion? Name of previous project: Date completed:		
Will the project deliverable(s) replace a current asset or group of assets? If yes, what is being replaced?		
Is the Project Initiation Phase effort funded? If yes, what is the amount of funding?		
Is the Project Planning Phase effort funded? If yes, what is the amount of funding?		

Points of Contact

List the principal individuals who may be contacted for information regarding the project.

Position	***Title/Name/Organization***	***Phone***	***E-mail***
Project Sponsor			
Program Manager			
Project Manager (Designee)			
Proponent Cabinet Secretary			
Proponent Agency Head			

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Customer (User) Representative(s)			
Other			

B. Project Purpose

Explain the business reason(s) for doing this project. If the Project Analysis Worksheet was completed, the Project Purpose (Section B) from the worksheet provides information to support completion of this section.

1. Business Problem

The Business Problem is a question, issue, or situation, pertaining to the business, which needs to be answered or resolved. State in specific terms the problem or issue this project will resolve. Often, the Business Problem is reflected as a critical business issue or initiative in the Agency's Strategic Plan or IT Strategic Plan.

2. Project Business Objectives

Define the specific Business Objectives of the project that correlate to the strategic initiatives or issues identified in the Commonwealth or Agency Strategic Plan. Every Business Objective must relate to at least one strategic initiative or issue and every initiative or issue cited must relate to at least one Project Business Objective.

Commonwealth or Agency Strategic Plan – Critical Issues	***Project Business Objectives***

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3. Core Business Activity Impacted

Core Business Activities are agency defined cross-functional processes that produce the agency's primary products and services, or support the production of the products or services. List the Core Business Activities impacted by the project and identify the impact.

Agency Core Business Activity	*Impact on Core Business Activity*

4. Constraints

Constraints are items that by their nature restrict choice. Identify Constraints that will influence the selection of a solution to resolve the Business Problem. Constraints can include but are not limited to: time, funding, personnel, facilities, and management limitations.

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C. Project Description

Describe the project approach, the specific solution, customer(s) served, and expected benefits. The approach is the overall strategy for solving the Business Problem. The solution should identify in specific terms how the project is accomplished and include information about the general timing and cost of major procurements or purchases. If the Project Analysis Worksheet was completed, the Preliminary Project Description (Section C) and the Recommendation (Section G) on the worksheet provide information to support development of the Project Description.

D. Strategic Justification

Identify how the project is consistent with the Commonwealth and Agency Strategic or IT Strategic Plan. If the project is not consistent, explain why the project is being proposed.

Answer the following questions in the space provided. Attach detailed explanations and analysis as appendices.
1. Briefly, describe how this project supports or is consistent with the Commonwealth of Virginia Strategic Plan for Technology. If it does not support the Commonwealth of Virginia Strategic Plan for Technology, explain why this project proposal is being submitted.

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2. Explain where and how this project is identified in the Agency IT Strategic Plan most recently approved by the Secretary of Technology. If it is not identified in the plan, explain why this project proposal is being submitted.
3. Briefly, describe how the planned solution complies with Commonwealth Enterprise Architecture Standards. If it does not comply with the Commonwealth Enterprise Architecture Standards, explain why this Project Proposal Document is being submitted, and identify which Commonwealth Enterprise Architecture Standard(s) are not being met.

E. Estimated Project Development Schedule (Major Milestones)

Identify major Project Milestones for planning, execution, and closeout.

Event	***Estimated Date***	***Estimated Duration***
Project Charter Approved		
Project Plan Completed		
Project Plan Approved		
Project Execution – Started		
Project Execution Completed		
Project Closed Out		

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F. Financial Estimate

Provide an economic justification for the project based upon the Cost Benefit Analysis and the expected return on investment. Identify the estimated funding resources required to complete the project and then identify the funding requirements to operate or maintain the product(s) or service(s) developed from the project.

1. Cost Benefit Analysis Summary

Answer the following questions in the space provided. Attach detailed explanations and analysis as appendices.

a. Summarize the results of the Cost Benefit Analysis. Explain why the expected monetary and non-monetary benefits validate the expenditure of resources for this project. Attach the Cost Benefit Analysis as Appendix A.
b. Summarize the results of the Return on Investment Analysis. If the project does not have a positive expected return on investment, explain why this project proposal is being submitted. Attach the detailed Return on Investment Analysis as Appendix B.

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2. Estimate of Execution Expenditures and Funding

Provide an Estimate of the Expenditures and Funding required for execution and close out of the project.

Estimated Expenditures ($000)						
	FY 200_	***FY 200_***	***FY 200_***	***FY 200_***	***Total***	***Comments***
Internal Staff Labor						
Services						
Software Tools						
Hardware						
Materials and Supplies						
Facilities						
Telecommunications						
Training						
Contingency (Risk)						
Total						
This estimate is accurate to:	50% [ ]	60% [ ]	70% [ ]	80% [ ]	90% [ ]	
Explanation:						

Anticipated (proposed) Funding Source ($000)						
	FY 200_	***FY 200_***	***FY 200_***	***FY 200_***	***Total***	***Comments***
General Fund						
Non-General Fund						
Federal						
Other						
Total						
This estimate is accurate to:	50% [ ]	60% [ ]	70% [ ]	80% [ ]	90% [ ]	
Explanation:						

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3. Estimate of Operations Expenditures and Funding

Provide an Estimate of the Expenditures and Funding for Operations and Maintenance of the asset(s) delivered upon project completion.

Estimated Expenditures ($000)						
	FY 200_	***FY 200_***	***FY 200_***	***FY 200_***	***Total***	***Comments***
Internal Staff Labor						
Services						
Software Tools						
Hardware						
Materials and Supplies						
Facilities						
Telecommunications						
Training						
Contingency (Risk)						
Total						

This estimate is accurate to: 50% [ ] 60% [ ] 70% [ ] 80% [ ] 90% [ ]

Explanation:

Anticipated (proposed) Funding Source ($000)						
	FY 200_	***FY 200_***	***FY 200_***	***FY 200_***	***Total***	***Comments***
General Fund						
Non-General Fund						
Federal						
Other						
Total						

This estimate is accurate to: 50% [ ] 60% [ ] 70% [ ] 80% [ ] 90% [ ]

Explanation:

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G. Project Risk

After completing a Preliminary Risk Analysis Worksheet for this project, determine the level of risk for the project and the risk score. On the chart below, circle the resulting risk level and record the risk score for each risk item. Attach the Preliminary Risk Analysis Worksheet as Appendix C.

Risk Item	*Risk Level*	*Risk Score*
Budget Risk *What level of risk does the proposed budget represent to the project?*	High (18–25) Medium (9-17) Low (1-8) None (0)	
External Dependencies Risk *How dependent is the project on other projects or work efforts?*	High (11–15) Medium (6-10) Low (1-5) None (0)	
Management Risk *What level of risk does the organization's project management capability represent?*	High (11–15) Medium (6-10) Low (1-5) None (0)	
Mission Critical Risk *How critical is the project success to the success of the organization?*	High (11–15) Medium (6-10) Low (1-5) None (0)	
Failure Risk *What is the risk of failure?*	High (11–15) Medium (6-10) Low (1-5) None (0)	
Complexity Risk *How complex is project?*	High (11–15) Medium (6-10) Low (1-5) None (0)	
Preliminary Risk Assessment *What is the overall risk of the project?*	High (73–100) Medium (36-72) Low (1-35) None (0)	***Total Risk Score:***

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H. Approvals

Obtain the Project Sponsor's and Agency Head's signatures indicating approval to submit this Project Proposal for investment consideration. If the Agency Head's signature is the only signature provided, the Agency Head is assumed to also be the Project Sponsor.

Position/Title	***Signature***	***Date***
Project Sponsor		
Agency Head		

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Project Charter Instructions

A. General Information – Basic information that identifies the project.

Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Points of Contact – List those individuals who may be contacted for information regarding the project. Provide the title, name, organization, phone number, and email address of the following individuals:

- *Project Sponsor* - An individual, usually part of the organization management team, who makes the business case for the project. This individual usually has the authority to define project goals, secure resources, and resolve organizational and priority conflicts.
- *Program Manager* – The individual responsible for the management and coordination of a group of related projects that will include the project being chartered.
- *Project Manager* - The individual appointed and given responsibility for management of the project.
- *Proponent Cabinet Secretary* - The appointed secretary to whom the agency responsible for the project is assigned.
- *Proponent Agency Head* – The appointed head of the agency responsible for the project.
- *Customer (User) Representative(s)* – Someone designated to represent the ultimate users of a product or service.
- *Other* – Any person, not listed above, who may be contacted about this project.

B. Executive Summary - In two or three paragraphs, provide a brief overview of this project and the contents of this document. An Executive Summary is necessary if Charter Sections C thru G are excessively long.

C. Project Purpose - The purpose of the project is to solve a business problem. Explain the business reason(s) for doing this project. The Project Purpose (the Business Problem and Project Business Objectives) is in the Project Proposal, Section B.

Appendix B: Templates

1. ***Business Problem*** - A question, issue, or situation, pertaining to the business, which needs to be answered or resolved. State in specific terms what problem or issue this project addresses. The business problem is often reflected as a critical business issue or initiative in the Agency's Strategic Plan or Information Technology Strategic Plan.
2. ***Project Business Objectives*** - A desired result produced by a project that answers or resolves a business problem. Define the specific business objectives of the project that correlate to the strategic initiatives or issues identified. Every business objective must relate to at least one strategic initiative or issue and every initiative or issue cited must relate to one project business objective. The project charter communicates this information to ensure that all stakeholders understand the relationship of the project to the Strategic Plans of the organization. During the planning phase, the objectives serve as a foundation for development of project performance measures known as measures of success.

D. Assumptions - Assumptions are statements taken for granted or accepted as true without proof. Assumptions are made in the absence of fact. List and describe the assumptions made in the decision to charter this project.

E. Project Description, Scope, and Management Milestones – This section defines the project and sets management expectations through a description of the project solution, a defined scope for the project, and definition of the project management milestones and deliverables.

1. ***Project Description*** - Describe the project approach, specific solution, customer(s), and benefits. The Project Description is located in the Project Proposal, Section C.
2. ***Scope*** - The Project Charter documents the project scope. Project Scope defines all of the products and services delivered by a project, and identifies the limits of the project. In other words, the scope establishes the boundaries of a project. The Project Scope addresses the who, what, where, when, and why of a project. Describe the sum of the products and services provided and identify the limits of the project.
3. ***Summary of Major Management Milestones and Deliverables*** - Provide a list of project management milestones and deliverables (see Project Proposal, Section E). This list of deliverables <u>is not</u> the same as the products and services provided, but is specific to management of the project. An example of a project management milestone is the Project Plan Completed.

F. Project Authority - Describe the authority of the individual or organization initiating the project, management constraints, management oversight of the project, and the authority granted to the Project Manager.

1. ***Authorization* –** Name the project approval authority that is committing organization resources to the project. Identify the source of this authority. The source of the approval authority often resides in code or policy and is related to the authority of the individual's position or title.

Appendix B: Templates

2. ***Project Manager –*** Provide the name the project manager and define his or her role and responsibilities in the project. The Project Charter explicitly identifies the project manager and gives him the authority to plan, execute, and control the project.
3. ***Oversight -*** The Project Charter establishes a relationship between the project manager and senior management to ensure support mechanisms exist to resolve issues outside the authority of the project manager. Describe the Commonwealth or agency oversight controls over the project.

G. Project Organization – This section provides a graphic and text description of the project team and other stakeholders. Provide an organizational diagram, a brief description of the type of project organization that is being implemented, and a description of the roles and responsibilities of all stakeholders. Some stakeholders may exist who do not have a formal organizational relationship with the project team but who have roles and responsibilities related to the project. The roles and responsibilities of these stakeholders should also be addressed in the roles and responsibilities paragraph.

1. ***Project Organization Chart*** - Provide a graphic depiction of the project team. The graphical representation is a hierarchal organizational diagram of the project team that begins with the project sponsor and includes the project team and other stakeholders.
2. ***Organization Description*** - Provide a text description of the type of project organization used for the project team, its makeup, and the lines of authority.
3. ***Roles and Responsibilities –*** Describe, at a minimum, the roles and responsibilities of all the stakeholders identified in the organizational diagram in Section G.2 (Organization Description). List any stakeholder not in the organizational diagram that has a significant role or responsibility related to the project. Include these stakeholders' roles and responsibilities also.

H. Resources – The Project Charter will indicate the resources that the project sponsor and management will commit to the project. This includes people, facilities, equipment, and funding. The full scope of resources required to execute a project is usually unknown when the Project Charter is developed but becomes clear during project planning. Additional resources may be allocated, if available, when the project plan is approved.

I. Signatures – The Project Charter must be approved and signed by the approving authority, agency director, project sponsor, and project manager. Cabinet Secretaries and other key stakeholders as appropriate will sign the Project Charter. The signatures formally empower the project manager to expend resources on the project and conclude the initiation phase of the project. In addition to the signatures, provide the printed name and title of the signatory, and date.

Appendix B: Templates

Project Charter

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document.

Project Title: ______________________ ***Project Working Title:*** ______________

Proponent Secretary: ______________________ ***Proponent Agency:*** ______________

Prepared by: ______________________

Points of Contact

List the principal individuals who may be contacted for information regarding the project.

Position	***Title/Name/Organization***	***Phone***	***E-mail***
Project Sponsor			
Program Manager			
Project Manager			
Proponent Cabinet Secretary			
Proponent Agency Head			
Customer (User) Representative(s)			
Other			

Appendix B: Templates

B. Executive Summary

An Executive Summary is required when Sections C thru G of the charter are excessively long. In two or three paragraphs, provide a brief overview of this project and the contents of this document.

C. Project Purpose

Explain the business reason(s) for doing this project. The Project Purpose (the Business Problem and Project Business Objectives) is in the Project Proposal, Section B.

1. Business Problem

The Business Problem is a question, issue, or situation, pertaining to the business, which needs to be answered or resolved. State in specific terms the problem or issue this project will resolve. Often, the Business Problem is reflected as a critical business issue or initiative in the Agency's Strategic Plan or IT Strategic Plan.

Appendix B: Templates

2. *Project Business Objectives*

Define the specific Business Objectives of the project that correlate to the strategic initiatives or issues identified in the Commonwealth or Agency Strategic Plan. Every Business Objective must relate to at least one strategic initiative or issue and every initiative or issue cited must relate to at least one project business objective.

Commonwealth or Agency Strategic Plan – Initiative or Critical Issue	***Project Business Objectives***

D. Assumptions

Assumptions are statements taken for granted or accepted as true without proof. Assumptions are made in the absence of fact. List and describe the assumptions made in the decision to charter this project.

Appendix B: Templates

E. Project Description, Scope and Management Milestones

1. Project Description

Describe the project approach, specific solution, customer(s), and benefits. The Project Description is located in the Project Proposal, Section C.

2. Scope

The Project Scope defines all of the products and services provided by a project, and identifies the limits of the project. In other words, the Project Scope establishes the boundaries of a project. The Project Scope addresses the who, what, where, when, and why of a project.

Appendix B: Templates

3. Summary of Major Management Milestones and Deliverables

Provide a list of Project Management Milestones and Deliverables (see Section E of the Project Proposal Document). This list of deliverables is not the same as the products and services provided, but is specific to management of the project. An example of a Project Management Milestone is the Project Plan Completed.

Event	***Estimated Date***	***Estimated Duration***
Project Charter Approved		
Project Plan Completed		
Project Plan Approved		
Project Execution – Started		
Project Execution Completed		
Project Closed Out		

F. Project Authority

Describe the authority of the individual or organization initiating the project, any management constraints, management oversight of the project, and the authority granted to the Project Manager.

1. Authorization

Name the project approval authority that is committing organization resources to the project. Identify the source of this authority. The source of the approval authority often resides in code or policy and is related to the authority of the individual's position or title.

2. Project Manager

Name the Project Manager and define his or her role and responsibility over the project. Depending on the project's complexities, include how the Project Manager will control matrixed organizations and employees.

3. Oversight

Describe the Commonwealth or Agency Oversight controls over the project.

Appendix B: Templates

G. Project Organization

1. Project Organization Chart
Provide a graphic depiction of the project team. The graphical representation is a hierarchal diagram of the project organization that begins with the project sponsor and includes the project team and other stakeholders.

2. Organization Description
Describe the type of organization used for the project team, its makeup, and the lines of authority.

Appendix B: Templates

3. Roles and Responsibilities

Describe, at a minimum, the Roles and Responsibilities of all stakeholders identified in the organizational diagram above. Some stakeholders may exist whom are not part of the formal project team but have roles and responsibilities related to the project. Include these stakeholders' roles and responsibilities also.

Appendix B: Templates

H. Resources

Identify the initial funding, personnel, and other resources, committed to this project by the project sponsor. Additional resources may be committed upon completion of the detailed project plan.

Resources	***Allocation and Source***
Funding	
Project Team (Full and Part Time Staff)	
Customer Support	
Facilities	
Equipment	
Software Tools	
Other	

I. Signatures

The Signatures of the people below document approval of the formal Project Charter. The Project Manager is empowered by this charter to proceed with the project as outlined in the charter.

Position/Title	***Signature/Printed Name/Title***	***Date***
Proponent Cabinet Secretary (as required)		
Proponent Agency Head		
Project Sponsor (required)		
Program Manager		
Project Manager (required)		
Other Stakeholders as needed		
Other Stakeholders as needed		

Appendix B: Templates

Project Initiation Transition Checklist

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date Prepared - The date the checklist is finalized.

Project Title: ______________________ ***Project Working Title:*** ______________________

Proponent Secretary: ______________________ ***Proponent Agency:*** ______________________

Prepared by: ______________________ ***Date:*** ______________________

Complete the Status and Comments column. In the Status column indicate: Yes, if the item has been addressed and completed; No, if item has not been addressed or completed; N/A, if the item has not been addressed and is not related to this project. Provide comments or plan to resolve "No" items in the last column.

	Item	***Status***	***Comments/ Plan to Resolve***
1	Has the technical and economic feasibility of several potential solutions been analyzed?		
1.1	Was the project proposal approved by the Project Sponsor and the Agency Head?		
1.2	Does the project proposal include a Preliminary Risk Assessment?		
2	Has the Project Charter been approved by the appropriate authority?		
3	Does the Project Charter include the following areas:		
3.1	Project Purpose		
3.2	Assumptions		

Appendix B: Templates

	Item	*Status*	*Comments/ Plan to Resolve*
3.3	Project Description		
3.4	Project Scope		
3.5	Project Management Milestones and Deliverables		
3.6	Project Authority including approval authority, a designated Project Manager, and management oversight		
3.7	Project Organization with roles and responsibilities		
3.8	Approvals		
4	Have all required resources for project planning assembled?		

Signatures

The Signatures of the people below relay an understanding that the key elements within the Initiation Phase section are complete and the project team is ready to transition to the Planning Phase.

Position/Title	*Name*	*Date*	*Phone Number*

Appendix B: Templates

Project Planning Templates

Activity Definition and Sequencing Worksheet Instructions

The Activity Sequencing Worksheet is a tool to organize WBS elements by defining activities, tasks and sub-tasks, the sequence in which they must be performed, and estimating their duration. This information is used to build the Project Schedule.

General Information - Basic information that identifies the project.
Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Complete the columns in the table as described below.
Element Number – List the element numbers assigned in the WBS.

WBS Elements, Activity, Task, or Sub-Task – Identify the task for the Element Number in the first column by listing the WBS Element, Activity, Task or Sub-Task as defined in the WBS worksheet. Indent Subordinate elements in the WBS element column. For example indent all tasks for an Activity and then indent the Sub-Task for the Task.

Definition of Activity, Task, or Sub-Task (Description) – Refine or revise the WBS definition of the Activity or Task listed in the previous column.

Estimated Duration – Estimate the length of time required to perform the WBS Element given the resources identified in the Resource Plan. Duration is the total period of time that it will take to perform the activity or task.

Task Predecessor Element Number - Provide the WBS Element Number(s) for WBS Element that must be completed before the WBS Element can start.

Appendix B: Templates

Activity Definition and Sequencing Worksheet

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Project Title: ______________________ ***Project Working Title:*** ______________________

Proponent Secretary: ______________________ ***Proponent Agency:*** ______________________

Prepared by: ______________________ ***Date / Control Number:*** ___________ | ___________

Element Number	*WBS Elements Activity, Task, or Sub-Task*	*Definition of Activity or Task (Description)*	*Estimated Duration (Hours or Days)*	*Task Predecessor Element Number*

Appendix B: Templates

Budget Plan Instructions

A. General Information – Basic information that identifies the project.

Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

B. Funds Available - Provide the amount of project funding for each fiscal year by fund source category identified in the Project Charter. Provide the specific reference for the source of funding within each category. Provide the Grand Total of Funds Available in the box below the Funding Source tables. The Grand Total is the total of all four (4) fiscal year totals.

C. Planned Expenditures by WBS Element - Using the WBS, provide a breakdown of expenditures for each WBS element using the expenditure categories shown. Balance expenditures with resources available or allocated in Section B. If funding is scheduled to be expended in multiple fiscal years or quarters, list the WBS Element Number again and prorate the expenditures over the fiscal years or quarters.

WBS Element Number - List the WBS Element Number in the first column.

Fiscal Year and Quarter - For each WBS element identify the Fiscal Year and Quarter when funds are scheduled to be expended. (See Project Schedule.)

Internal Staff Labor, *Services*, *Development Tools*, *Software*, *Hardware*, *Materials and Supplies*, *Facilities*, *Telecommunications*, *Training* - Identify the funds that are scheduled to be expended for the specified fiscal year and quarter for each listed category (columns 3 through 9 in table).

Total – Total cost for each WBS element and category.

D. Contingency (Risk) Budgeting - The expenditures in this section are developed in the Risk Plan (see Section F) and are copied into the *Total Planned Contingency Expenditure* column of the table provided. The Total Planned Contingency Expenditure must be balanced against the funds available identified in Section B.

Appendix B: Templates

E. Planned Expenditures - Summarize from Section C the total planned expenditures by fiscal year for the categories listed. Develop the total planned expenditures by balancing the estimated cost for all WBS elements and risk mitigation expenditures in a fiscal year against the available funding. Provide comments where necessary to clarify expenditures. Provide the Grand Total of Funds Available in the box below the Planned Expenditures tables. The Grand Total is the total of all four (4) fiscal years.

If planned expenditures and allocated funding cannot be balanced, notify the project sponsor and provide a rational for requesting additional funding. If additional funding is not available, reconsider the scope of the project and solution selected. Identify changes to the WBS and reevaluate cost.

F. Project Spending Plan - Document the spending plan, by category, for each quarter of the fiscal year. Derive these estimates using the tables in Sections C and D. Sum the cost, by category, for all WBS elements and risk(s) that occur during each quarter of each fiscal year. Total the columns for each quarter at the bottom of the table.

Appendix B: Templates

Budget Plan

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Project Title:		***Project Working Title:***		
Proponent Secretary:		***Proponent Agency:***		
Prepared by:		***Date / Control Number:***		

B. Funds Available

Provide the amount of funding identified in the Project Charter for each fund source category in the tables below. Provide clear and specific reference for the source of funding within the categories listed.

Funding Source ($000)

Category	***200_-0_***		***Specific Fund Cite, Grant, or Budget Line Number***
	FY 200_	***FY 200_***	
General Fund			
Non-General Fund			
Special Revenue			
Federal			
Other			
Total			

Funding Source ($000)

Category	***200_-0_***		***Specific Fund Cite, Grant, or Budget Line Number***
	FY 200_	***FY 200_***	
General Fund			
Non-General Fund			
Special revenue			
Federal			
Other			
Total			

Grand Total of Funds Available	

Appendix B: Templates

C. Planned Expenditures by WBS Element

Provide expense or cost breakdown for each WBS element by fiscal year and quarter using the expenditure categories below. Balance expenditures at the WBS level with funds available in Section B.

WBS Element Number	***Fiscal Year and Quarter***	***Internal Staff Labor***	***Services***	***Develop-ment Tools***	***Software***	***Hardware***	***Materials and Supplies***	***Facilities***	***Tele-communi-cations***	***Training***	***Total***
Total											

Appendix B: Templates

D. Contingency (Risk) Budgeting

The expenditures below are developed in the Risk Plan Section F and copied into this table. The Total Planned Contingency Expenditures must be balanced against the funds available identified in Section B.

Fiscal Year	*Total Planned Contingency Expenditure*

Appendix B: Templates

E. Planned Expenditures

Provide the total planned expenditures by year for the categories listed by summarizing Section C in this table. Provide comments where necessary to clarify expenditures. The totals are developed by balancing the estimated cost for all WBS Elements in a fiscal year against the available funding.

Planned Expenditures ($000)			
	200_-0_		**Comments**
	FY 200_	***FY 200_***	
Staff Labor			
Services			
Development Tools			
Software			
Hardware			
Materials and Supplies			
Facilities			
Telecommunications			
Training			
Contingency (Risk)			
Total			

Planned Expenditures ($000)			
	200_-0_		***Comments***
	FY 200_	***FY 200_***	
Staff Labor			
Services			
Development Tools			
Software			
Hardware			
Materials and Supplies			
Facilities			
Telecommunications			
Training			
Contingency (Risk)			
Total			

Grand Total of Funds Available	

Appendix B: Templates

F. Project Spending Plan

In the columns below, document the spending plan by category for each quarter of the fiscal year. Derive these estimates, using the tables in Sections C and D, by summing the cost for all WBS elements that occur during a particular quarter of a fiscal year.

Budget Category	***FY200_ QTR 1***	***FY200_ QTR 2***	***FY200_ QTR 3***	***FY200_ QTR 4***	***FY200_ QTR 1***	***FY200_ QTR 2***	***FY200_ QTR 3***	***FY200_ QTR 4***
Internal Staff Labor								
Services								
Development Tools								
Software								
Hardware								
Materials and Supplies								
Facilities								
Telecommunications								
Training								
Contingency (Risk)								
Total								

Appendix B: Templates

F. Project Spending Plan – continued

Budget Category	***FY200_ QTR 1***	***FY200_ QTR 2***	***FY200_ QTR 3***	***FY200_ QTR 4***	***FY200_ QTR 1***	***FY200_ QTR 2***	***FY200_ QTR 3***	***FY200_ QTR 4***
Internal Staff Labor								
Services								
Development Tools								
Software								
Hardware								
Materials and Supplies								
Facilities								
Telecommunications								
Training								
Contingency (Risk)								
Total								

Appendix B: Templates

Change and Configuration Management Plan Instructions

A. General Information – Basic information that identifies the project.
Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

B. Change Control Items – List those components of the project plan governed by this change control process. Change control items include the scope, schedule, budget, and performance Plans.

C. Change Control Process – Describe or diagram the flow of a change request through the change process. Provide a "step-by-step" guide on how changes to the change control items are made.

D. Configuration Management Control Items – Describe the method of selecting each configuration management control items and list the configuration management control items for the project.

E. Configuration Management Control Process – Describe or diagram the process for making configuration changes to configuration management controlled items. Provide a "step-by-step" process on how changes to a configuration management control item are made.

F. Naming and Marking Methods – Describe how documents, components, revisions, and releases are consistently named and marked.

G. Submission and Retrieval of Control Items – Describe the process for submission and retrieval of a controlled item from the Project Repository to prevent the unauthorized modification of the controlled item.

H. Version Control – Define the document version control and release approval procedure. (Version control is not the same as naming and marking methods). Address the release and approval procedures for any new version of a document, software, database, or other similar item under configuration control.

Appendix B: Templates

I. **Storage, Handling, and Disposition of Project Media -** Describe storage, handling, and disposition requirements for project media (both automated and paper). The information in this paragraph is included in the communications plan. Verify there is no conflict in the plans for storage, handling, and disposition of project documentation.

J. **Change Management Responsibilities -** Identify project stakeholders with specific change management responsibilities. Describe the change management responsibilities of the stakeholders in the second column.

K. **Configuration Management Responsibilities -** Identify project and configuration team members with configuration management responsibilities. Describe the configuration management responsibilities of the project and configuration team members in the second column.

Appendix B: Templates

Change and Configuration Management Plan

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Project Title:		***Project Working Title:***		
Proponent Secretary:		***Proponent Agency:***		
Prepared by:		***Date / Control Number:***		

B. Change Control Items

List those components of the Project Management Plan governed by this Change Control Process. Change Control items typically include the Scope, Schedule, Budget and Performance Plans.

C. Change Control Process

Describe or diagram the flow of a Change Request through the Change Process.

Appendix B: Templates

D. Configuration Management Control Items

Describe the method for selecting each Configuration Management Control Item and list the Configuration Management Control Items.

Describe how Configuration Management Control Items are selected for the project.

List identified Configuration Management Control Items selected for the project.

E. Configuration Management Control Process

Diagram or describe the process for making changes to a Configuration Management Controlled Item.

Appendix B: Templates

F. Naming and Marking Methods

Describe how the documents, components, revisions, and releases are consistently named and marked.

G. Submission and Retrieval of Control Items

Describe the process for submission and retrieval of Controlled Items within the project.

H. Version Control

Define the Document Version Control and Release Approval procedure.

Appendix B: Templates

I. Storage, Handling, and Disposition of Project Media

Describe storage, handling, and disposition requirements for project media (both automated and paper). The information in this paragraph is also included in the Communications Plan. Verify that there is no conflict in the plans for storage, handling, and disposition of project documentation.

J. Change Management Responsibilities

Identify project Stakeholders and their specific Change Management Responsibilities.

Stakeholders	***Change Management Responsibilities***

Appendix B: Templates

K. Configuration Management Responsibilities

Identify members of the project or configuration team and outline their Configuration Management Responsibilities.

Team Member	*Responsibilities*

Appendix B: Templates

Communications Plan Instructions

A. General Information – Basic information that identifies the project.

Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

B. Information Requirements – List each stakeholder and their project information needs. Identify the specific Time Frame that the stakeholder needs to view this information (e.g., from the beginning of the project thru testing or after implementation).

C. Information Description, Collection, and Reporting – List each Information Need in the first column identified in Section B under column Information Needs. For each Information Need, provide the following:

Description of Information – Describe what information is collected and reported to satisfy the information need in the first column.

Provider of Information – Identify the person or organization that will provide the information described in the previous column.

When is Information Collected – Identify the scheduled time the information is collected.

How is Information Collected – Describe how the information is collected.

How is Information Reported - Identify how the information collected will be reported to stakeholders.

D. Distribution Methods – In the first column, list each report or document needed to communicate the information identified in the last column of Section C. For each report or document provide the following:

Primary Distribution Method – Identify the primary distribution method (e.g., voice, electronic mail, spreadsheet, formal presentation).

Appendix B: Templates

Secondary Distribution Method – Identify the secondary distribution method (e.g., voice, electronic mail, spreadsheet, formal presentation).

Distribution Frequency – Identify the distribution frequency (e.g., daily, weekly, monthly, quarterly, semi-annual, annual).

C. Distribution Groups – Organize into logical groups, stakeholders identified in Section B, who have common information needs. List the stakeholder(s) for each group in the columns provided. Specify the common information needs for each group.

D. Communications Management Plan Summary - Based on sections B-E, summarize the Communications Management Plan. Specify how and where documents and reports are to be stored. Describe when and how to dispose of documents and reports.

Report or Document - Identify the specific report or document.

Prepared by - Identify the person responsible for preparing the report.

Information Provider - Identify the person(s) providing the information for the report or document.

Distribution Group - Identify the group(s) that will receive the report or document.

Transmittal Method(s) - Identify how the reports or documents will be distributed.

Distribution Frequency - Identify how often the reports or documents will be distributed.

Storage and Disposition - Explain how the reports or documents are stored (filed) and how the reports or documents will be disposed of when no longer needed.

E. Method for Updating the Communications Plan – Describe how the Communications Plan will be kept current. This section must identify who is responsible for maintaining the plan, who should make recommendations for changes to the plan, how frequently the plan is reviewed and changed, who has the authority to make changes to the plan, and how the changes are approved.

Appendix B: Templates

Communications Plan

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Project Title: ____________________ ***Project Working Title:*** ____________________

Proponent Secretary: ____________________ ***Proponent Agency:*** ____________________

Prepared by: ____________________ ***Date / Control Number:*** __________ | __________

B. Information Requirements

List each stakeholder and their project information needs. Identify the specific Time Frame that the stakeholder needs to view this information (e.g., from the beginning of the project thru testing or after implementation).

Stakeholder Name	***Stakeholder Position***	***Information Needs***	***Time Frame***

Appendix B: Templates

C. Information Description, Collection, and Reporting

List each Information Need in the first column identified in Section B, column Information Needs. For each Information Need, describe the information, the provider of the information, when and how is it collected, and how the information will be reported.

Information Need	*Description of Information*	*Provider of Information*	*When is Information Collected*	*How is Information Collected*	*How is Information Reported*

D. Distribution Methods

List each report or document needed to communicate the information about the project identified in the last column of Section C. Identify the primary and secondary distribution methods for each report or document (e.g., voice, electronic mail, spreadsheet, formal presentation). Specify the frequency or distribution for each report or document.

Report or Document	*Primary Distribution Method*	*Secondary Distribution Method*	*Distribution Frequency*

Appendix B: Templates

E. Distribution Groups

Organize into logical groups, stakeholders identified in section B, who have common information needs. List the stakeholder(s) for each group in the columns provided. Specify the common information needs for each group.

Group Name	***Group A***	***Group B***	***Group C***	***Group D***	***Group E***	***Group F***
Stakeholders:						
Common Information Needs:						

Appendix B: Templates

F. Communications Management Plan Summary

Based on sections B-E, summarize the Communications Management Plan. Specify how and where documents and reports are to be stored. Describe when and how to dispose of documents and reports.

Report or Document	***Prepared By***	***Information Provider***	***Distribution Group***	***Transmittal Method(s)***	***Distribution Frequency***	***Storage and Disposition***

Appendix B: Templates

G. Method for Updating the Communications Plan

Describe who, when, and how the Communications Plan will be maintained.

Appendix B: Templates

Organization Breakdown Structure Worksheet Instructions

The organization breakdown structure (OBS) worksheet assists in reporting project tasks by organization. The OBS provides an organizational perspective of the project rather than a task-based perspective. The hierarchical structure of the OBS allows aggregation of project information to higher levels. By using the OBS and WBS together, it is assured that all elements (scope) of a project will be assigned to a responsible organization.

General Information – Basic information that identifies the project.
Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Complete the columns in the table as described below.
Responsible Person or Group – Identify the group or person responsible for accomplishing the WBS element. The OBS focuses on assigning the total set of WBS elements, resources required, and costs associated to responsible organizational units. The responsible person or group may be a person in a small project, a group of people lead by a team leader, or an existing functional organization. List the person or group first. Leave a number of rows between each person or group listed. Next, complete the WBS Element Number and Name columns.

Element Number – Identify the task(s) assigned to the person or group in the first column by listing the WBS Element Numbers as defined on the WBS worksheet.

WBS Elements, Activity, Task, or Sub-Task – Identify the task(s) assigned to the person or group in the first column by listing the WBS Element, Activity, Task or Sub-Task that corresponds with the Element Number in the second column. Indent subordinate Elements in the WBS element column. For example indent all tasks for an Activity and then indent the Sub-Task for the Task.

Resources Required – Identify what physical resources (personnel, facilities, equipment, software) are needed to accomplish this WBS element.

Appendix B: Templates

Estimated (E) or Actual (A) Cost – Provide an estimated or actual cost based on the resource requirements identified and estimates developed in the WBS worksheet. This column is completed after the decomposition to the lowest task level is complete. Begin at the smallest element and roll up costs to the larger elements.

Appendix B: Templates

Organization Breakdown Structure Worksheet

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Project Title: ____________________ ***Project Working Title:*** ____________________

Proponent Secretary: ____________________ ***Proponent Agency:*** ____________________

Prepared by: ____________________ ***Date / Control Number:*** ____________________

Using the Work Breakdown Structure, reorganize the project activities and task by responsible person or group and identify the resources required. Aggregate the collective tasks, resources, and costs for each responsible person or group.

Responsible Person or Group	*Element Number*	*WBS Elements Activity, Task, or Sub-Task*	*Resources Required*	*Estimated (E) or Actual (A) Cost (Cross reference to budget)*

Appendix B: Templates

Performance Plan Instructions

A. General Information – Basic information that identifies the project.
Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary **–** The Secretary to whom the proponent agency is assigned to or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

B. Project Performance Plan Table
Project Business Objectives – The Project Business Objectives are found in the Project Charter and in the Scope and Business Objective Worksheet. List each of the Project Business Objectives in this column.

Performance Goal – Define success in relation to the Project Objective. Relate how the objective in the previous column is met. The goal should not be an ambiguous statement, but be clearly defined in terms of accomplishment. For example: *99% of users can log on to the site without error.*

Methodology – Describe how to measure the performance goal. This column should present the method used to measures success. Testing, surveys, and automated system measurements are just a few examples of the methodologies that can be used. The methodology must be specific and practical.

Schedule – Define how often progress toward achieving the goal will be measured by the methodology described in the previous column.

Responsibility – Assign responsibility for monitoring progress, making the measurements as scheduled and reporting to a specific group or individual.

Reports – Identify how progress or lack of progress toward achieving the goals will be reported. Information provided in this column should be consistent with the Project Communications Plan – Appendix H of the Project Plan.

C. Deliverable Description and Acceptance Criteria
Project Business Objectives – Insert the Project Business Objectives from the previous table (Section B).

Appendix B: Templates

Deliverable - A deliverable is any measurable, tangible, verifiable outcome, result, or item that must be produced to complete a project or part of a project. The term is often used more narrowly in reference to an external deliverable. A deliverable is subject to approval by the project sponsor or customer.

Description – Describe the Project Deliverable associated with the Project Objective identified in the first column.

Acceptance Criteria – Describe acceptance criteria for each deliverable. Acceptance criteria are the agreed upon standards of acceptable performance and functionality for a deliverable. A deliverable is required to meet the established acceptance criteria before it is delivered to the end user.

Appendix B: Templates

Performance Plan

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Project Title: ____________________ ***Project Working Title:*** ____________________

Proponent Secretary: ____________________ ***Proponent Agency:*** ____________________

Prepared by: ____________________ ***Date / Control Number:*** __________ | __________

B. Project Performance Plan Table

List the Project Business Objectives in the first column. Identify the Performance Goal for each objective, the method of measuring the goal, when the measurement is taken, who is responsible for making the measurement, and how the progress toward the goal is reported.

Project Business Objective *Identify the desired result produced by the project that answers or resolves a business problem.*	***Performance Goal*** *Define success in relation to the Project Objective*	***Methodology*** *Describe how performance goal is measured.*	***Schedule*** *Describe when to measure.*	***Responsibility*** *Identify who measures.*	***Reports*** *Identify how progress toward meeting the performance goal is reported.*

Appendix B: Templates

C. Deliverable Description and Acceptance Criteria

In the first column, insert the Project Objectives from the previous table, Section B. In the next two columns, list and describe Project Deliverables associated with the Project Objective identified in the first column. Describe Acceptance Criteria for each Deliverable.

Project Objective	***Deliverable***	***Description***	***Acceptance Criteria***

Appendix B: Templates

Procurement Plan Instructions

A. General Information – Basic information that identifies the project.
Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned to or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

B. Procurement Summary – Document all products, goods, or services that must be procured the course of the project. Identify the Responsible Person for the procurement and indicate the Procurement Method Selected for each item. The procurement methods are: Emergency Procedures, Sole Source, Small Purchase, Competitive Negotiation, and Competitive Sealed Bid Procedures. (See DGS, Vendors Manual December 1998 Edition for detailed descriptions.) Using the WBS and Project Schedule, identify Quantity or Man-hours Required, Required Delivery Date, and Delivery Location.

Product, Good or Service - Identify the specific Product, Good or Service to be procured.

Responsible Person - Identify the person responsible for the procurement.

Procurement Method Selected - Indicate the procurement method planned for each Product, Good, or Service. The procurement methods are: Emergency Procedures; Sole Source; Small Purchase; Competitive Negotiation; Competitive Sealed Bid Procedures. (See DGS, Vendors Manual December 1998 Edition for detailed descriptions.)

Quantity/Man-hours Required - Identify the quantity being procured and the unit of measure (each, hour).

Required Delivery Date - Using the WBS and Project Schedule, identify the planned Delivery Date for delivery of the Product, Good or Service.

Delivery Location - Using the WBS and Project Schedule, identify the planned Delivery Location for delivery of the Product, Good or Service.

Appendix B: Templates

C. Procurement Schedule - For every Procurement Method identified in column Procurement Method Selected in the Procurement Summary table, create a separate Procurement Schedule table. Identify the procurement method in the top row. For each procurement method, modify the column headings to record each step required to complete the procurement. These procurement steps should include agency and Commonwealth required actions. When the table(s) is (are) complete, add the procurement actions and dates as tasks in the Project Schedule.

Product, Good or Service - List individually the products, goods, or services procured with the procurement method identified in the first column.

Date of Action - Insert the dates for the procurement actions for each specified product, good, or service in the columns below the procurement action.

Appendix B: Templates

Procurement Plan

A. General Information

Provide basic information about the project, including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Project Title: ______________________ ***Project Working Title:*** ______________________

Proponent Secretary: ______________________ ***Proponent Agency:*** ______________________

Prepared by: ______________________ ***Date / Control Number:*** ___________ | ___________

B. Procurement Summary

Document all products, goods, or services that must be procured during the course of the project. Identify the Responsible Person for the procurement and indicate the Procurement Method Selected for each item. The procurement methods are: Emergency Procedures, Sole Source, Small Purchase, Competitive Negotiation, and Competitive Sealed Bid Procedures. (See DGS, Vendors Manual December 1998 Edition for detailed descriptions.) Using the WBS and Project Schedule, identify Quantity or Man-hours Required, Required Delivery Date, and Delivery Location.

Product, Good, or Service	***Responsible Person***	***Procurement Method Selected***	***Quantity/Man-hours Required***	***Required Delivery Date***	***Delivery Location***

Appendix B: Templates

C. Procurement Schedule

For every Procurement Method listed in the previous table, a separate Procurement Schedule Table will be created. Insert the Procurement Method documented in the previous table in the first row. Modify the column headings to record each step required to complete a procurement using the method identified. These procurement steps should include agency and Commonwealth required actions. List each product, good, or service in the first column and insert a date in the action column when that action will be completed. When the tables are complete, add the procurement actions as tasks in the project schedule.

	Procurement Method:							
Product, Good, or Service	***(Insert required procurement action this method)***	***(Insert required procurement action this method)***	***(Insert required procurement action this method)***	***(Insert required procurement action this method)***	***(Insert required procurement action this method)***	***(Insert required procurement action this method)***	***(Insert required procurement action this method)***	***(Insert required procurement action this method)***
	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)
	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)
	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)
	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)
	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)
	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)
	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)
	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)
	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)	(Action Date)

Appendix B: Templates

Project Plan Instructions

Project Plan Approval Cover Page – Complete the project name (see A.), project working title (see A.), and names of the signatories. The cover page provides space adequate for the approving signature of all management levels in the Commonwealth. Project Plan approval requirements are derived from organization and Commonwealth Policies and Standards as well as Commonwealth of Virginia Code.

A. General Information – Basic information that identifies the project.

Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned to or the Secretary that is sponsoring an enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

B. Points of Contact – *List those individuals that may be contacted about this project. Provide the title, name, organization, phone number, and email address of the following individuals:*

Project Sponsor - An individual, usually part of the organization management team, who makes the business case for the project. This individual has or should have the authority to define project goals, secure resources, and resolve organizational and priority conflicts.

Program Manager – The individual responsible for the management and coordination of a group of related projects that will include the project being planned.

Project Manager - The individual appointed and given responsibility for management of the project.

Procurement Contact – The person responsible for procurement activities from planning to preparation and processing of a requisition, through receipt, acceptance of delivery, and processing of a final invoice for payment.

Appendix B: Templates

<u>Project Team Members</u> - The individuals that report either part time or full time to the project manager and are responsible for the completion of project tasks.

<u>Stakeholders</u> - Individuals and organizations that are involved in or may be affected by project activities.

<u>Other</u> – Any person, not listed above, who may be contacted about this project.

C. Contractor Information – Identify each company contracted to work on this project and list the names, telephone numbers, and email addresses for the representatives of each company. Positions that should be addressed are the Senior Manager, Account Manager, Project Manager, Technical Lead.

D. Project Plan Summary

1. ***Business Problem*** – Insert the business problem as stated in the Project Charter (Section C).
2. ***Assumptions*** - List the Assumptions made about the project in the Project Charter (Section D). List and identify any changes to the original assumptions or additional assumptions made during project planning.
3. ***Project Description*** - Provide the project approach, specific solution, customer(s), and benefits. The Project Description is stated in the Project Charter (Section E). If there are changes to the description because of project planning, clearly identify the changes or additions made to the project description.
4. ***Project Scope*** – Provide the Project Scope found in the Project Charter (Section E) and identify any additions or changes resulting from detailed project planning.
5. ***Performance Plan Summary*** – Measures of success are metrics that measure the success or failure of a project. The measures of success are based on the project scope and objectives. Provide a summary of the Measures of Success from the Performance Plan in Appendix A. In the table below, list the Project Objectives, the Performance Goal for each objective, and briefly describe how the Performance Goal is measured.
6. ***Critical Milestone Summary*** – Summarize the Project Schedule by listing the Milestones or Events on the critical path of the Project Schedule (Appendix D). The critical path is: a series of activities, which determine the earliest completion time for the project. For each event, provide the Projected Date of Completion and a brief description of the Significance of the Milestone or Event listed.
7. ***Budget Planning Summary*** – Provide a summary in table form of the expenditures and source of funding for the project during the life of the project. Identify and explain deviations from the approved funding outlined in the Project Charter. This budget does not include expenditures and funding for the life of the asset produced. Lifecycle cost for the asset are addressed in Project Initiation.
8. ***Procurement Plan Summary*** – Summarize the Procurement Plan for this project. Include information about major procurements, procurement strategies, and projected dates for critical procurement activities.

Appendix B: Templates

9. ***Risk Planning Summary*** – Summarize the Risk Management Strategy for the project. Describe the process for identification of risk, evaluation and prioritization of risk, identification of options for mitigating risk, the process for maintaining the risk plan and risk monitoring, and the responsibilities of individuals.
10. ***Top Ten Risk(s)*** – Provide a list of the ten highest risks to the project's success, including the probability of their occurrence, level of impact anticipated, and a brief description of the Mitigation Strategy for each.

PROJECT PLAN APPENDICES – Detailed plans and tables are attached as appendices. These appendices are summarized in the project plan summary paragraphs listed above.

Appendix A. Project Performance Plan

Appendix B. Work Breakdown Structure

Appendix C. Resource Plan

Appendix D. Project Schedule

Appendix E. Project Budget

Appendix F. Procurement Plan

Appendix G. Risk Plan

Appendix H. Communications Plan

Appendix I. Change and Configuration Management Plan

Appendix J. Quality Management and IV&V Plan

Appendix B: Templates

Project Plan

The attached Project Plan has been reviewed and is approved for execution by the undersigned.

Project Title: ______________________ ***Project Working Title:*** ______________________

Signature Date	Signature Date
Program Manager	**Project Sponsor**
Signature Date	Signature Date
Agency Head	**Cabinet Secretary**
Signature Date	
Secretary of Technology	

Appendix B: Templates

Project Plan

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Project Title:		***Project Working Title:***		
Proponent Secretary:		***Proponent Agency:***		
Prepared by:		***Date / Control Number:***		

B. Points of Contact

List the principal individuals who may be contacted for information regarding the project.

Position	*Title/Name/Organization*	*Phone*	*E-mail*
Project Sponsor			
Program Manager			
Project Manager			
Procurement Contact			
Project Team Member			
Project Team Member			
Stakeholder			
Stakeholder			

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Other (DTP, Secretariat)			

C. Contractor Information

Identify each company contracted to work on this project and list the names, telephone numbers, and email addresses for the representatives of each company.

Company Name:

Position	***Name***	***Phone***	***E-mail***
Senior Manager			
Account Manager			
Project Manager			
Technical Lead			
Other			

Company Name:

Position	***Name***	***Phone***	***E-mail***
Senior Manager			
Account Manager			
Project Manager			
Technical Lead			
Other			

Company Name:

Position	***Name***	***Phone***	***E-mail***
Senior Manager			
Account Manager			
Project Manager			
Technical Lead			
Other			

Company Name:

Position	***Name***	***Phone***	***E-mail***
Senior Manager			
Account Manager			
Project Manager			
Technical Lead			
Other			

Appendix B: Templates

Company Name:

Position	***Name***	***Phone***	***E-mail***
Senior Manager			
Account Manager			
Project Manager			
Technical Lead			
Other			

D. Project Plan Summary

1. Business Problem

Insert the Business Problem as stated in the Project Charter (Section C).

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2. Assumptions

List the Assumptions made about the project in the Project Charter (Section D). List and identify any changes to the original assumptions or additional assumptions made during project planning.

3. Project Description

Provide the Project Description stated in the Project Charter (Section E). If there are changes to the Description because of Project Planning, clearly identify the changes or additions made to the Project Description.

Appendix B: Templates

4. Project Scope

Provide the Project Scope found in the Project Charter (Section E) and identify any additions or changes resulting from detailed Project Planning.

5. Performance Plan Summary

Provide a summary of the Measures of Success from the Performance Plan at Appendix A. In the table below, list the Project Objectives, Performance Goal for each objective, and briefly describe the Methodology for how the Performance Goal is measured.

Project Objective	***Performance Goal***	***Methodology***

Appendix B: Templates

6. Critical Milestone Summary

Summarize the Project Schedule by listing the Milestones or Events on the critical path of the Project Schedule (Appendix D). The critical path is: a series of activities, which determine the earliest completion time of the project. For each event, provide the Projected Date of completion and a brief description of the Significance of the Milestone or Event listed.

Milestone or Event	***Projected Date of Completion***	***Significance***

Appendix B: Templates

7. Budget Planning Summary

Provide a summary in table form of the expenditures and source of funding for the project during the life of the project. Identify and explain deviations from the approved funding outlined in the Project Charter. This budget does not include expenditures and funding for the life of the asset produced. Lifecycle costs for the asset areaddressed in project initiation. The complete Budget Plan is attached at Appendix E.

Planned Expenditure *($000)*						
	FY 200_	***FY 200_***	***FY 200_***	***FY 200_***	***Total***	***Comments***
Internal Staff Labor						
Services						
Software Tools						
Hardware						
Materials and Supplies						
Facilities						
Telecommunications						
Training						
Contingency (Risk)						
Total						
Explanation:						

Funding Source *($000)*						
	FY 200_	***FY 200_***	***FY 200_***	***FY 200_***	***Total***	***Comments***
General Fund						
Non-General Fund						
Federal						
<u>Other</u>						
Total						
Explanation:						

Appendix B: Templates

8. Procurement Plan Summary

Summarize the Procurement Plan for the project found in Appendix F. Include information about major procurements, procurement strategies, and projected dates for critical procurement activities.

9. Risk Planning Summary

Summarize the Risk Management Strategy for the project.

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10. Top Ten Risk(s)

Provide a list of the ten (10) highest risks to the project's success, including the probability of their occurrence, level of impact anticipated, and a brief description of the Mitigation Strategy for each.

#	***Description***	***Probability %***	***Impact 1= low 5 = high***	***Mitigation Strategy***
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

Appendix B: Templates

PROJECT PLAN APPENDICES

The attached appendices are the detailed plans and tables. These appendices are summarized in the executive summary paragraphs listed above. Templates and worksheets supporting development of the plans attached are available in Section 3 and Appendix B of the Guideline as well as in the template section of the Commonwealth Project Management Web Page.

Appendix A. Project Performance Plan

Appendix B. Work Breakdown Structure

Appendix C. Resource Plan

Appendix D. Project Schedule

Appendix E. Project Budget

Appendix F. Procurement Plan

Appendix G. Risk Plan

Appendix H. Communications Plan

Appendix I. Change and Configuration Management Plan

Appendix J. Quality Management and IV&V Plan

Appendix B: Templates

Project Planning Transition Checklist

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the checklist is finalized and the change or configuration item control number assigned.

Project Title: ______________________ ***Project Working Title:*** ______________________

Proponent Secretary: ______________________ ***Proponent Agency:*** ______________________

Prepared by: ______________________ ***Date / Control Number:*** __________ | __________

Complete the Status and Comments columns. In the Status columns indicate: Yes, if the item has been addressed and completed; No, if item has not been addressed, or is incomplete; N/A, if the item is not applicable to this project. Provide comments or plan to resolve in the last column.

	Item	*Status*	*Comments/ Plan to Resolve*
1	**Are the project objectives, description, and scope the same as specified in the project charter?**		
1.1	If the answer to 1 is No, has the change been approved by the appropriate authority specified in the project charter?		
1.2	Have cost or resource changes been reviewed and approved as necessary by management authority?		
2	Has the project plan been approved by the appropriate authority specified in the project charter?		
3	Does the baseline plan include the following:		

Appendix B: Templates

	Item	*Status*	*Comments/ Plan to Resolve*
3.1	Project Scope and Objectives		
3.2	Project Performance Plan		
3.3	Work Breakdown Structure		
3.4	Resource Plan		
3.5	Project Schedule		
3.6	Procurement Plan		
3.7	Project Budget		
3.8	Quality Plan		
3.9	Risk Management Plan		
3.10	Communications Plan		
3.11	Change and Configuration Management Plan		
3.12	Quality and IV&V Plan		
4	Have all business partners who have a role in execution of the project plan agreed to and signed off on the plan?		

Appendix B: Templates

	Item	*Status*	*Comments/ Plan to Resolve*
4.1	Has the first management review been scheduled with all participants?		
4.2	Are all members of the project team designated and available to begin project execution on the scheduled project start date?		
4.3	Is a project kick off meeting scheduled?		
4.4	Have all project team leaders been briefed on the full project plan and have their individual roles and responsibilities been communicated?		
5	**Are all required resources for initiation of project execution assembled?**		
5.1	**Are all resource required during the project scheduled and available to the project team?**		
6	**Have all contracts or purchases been initiated or completed, if required to begin project execution?**		

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Signatures

The Signatures of the people below relay an understanding that the key elements within the Planning Phase section are complete and the project team is ready to transition to the Execution Phase.

Position/Title	***Name***	***Date***	***Phone Number***

Appendix B: Templates

Project Schedule Instructions

The project schedule is based upon information in the WBS, OBS, Activity Definition and Sequencing Worksheet, and Resource Plan. The schedule should address at least three levels of WBS Elements. The schedule may be prepared using an automated scheduling tool like Microsoft Project. If an automated tool is used, format the data entry table to include all of the data elements identified in the table section of Project Schedule Template.

General Information - Basic information that identifies the project.
Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Complete the columns in the table as described below.
Element Number – Insert the assigned Work Breakdown Structure Element Number (for example: 1.1.1) for the activity, task, or subtask listed on the Activity Definition and Sequencing Worksheet.

WBS Elements, Activity, Task, or Sub-Task Names – Insert the activities, tasks, and sub-tasks from the Activity Definition and Sequencing Worksheet for the corresponding Element Number inserted in the first column. Indent Subordinate elements in the WBS element column. For example indent all tasks for an Activity and then indent the Sub-Task(s) for the Task.

Estimated Duration – Insert the estimated length of time required to perform the WBS element from the Activity Definition and Sequencing Worksheet for the corresponding Element Number inserted in the first column. Duration is defined as the number of work periods (not including holidays or non-working periods) required to complete an activity or other project element.

Start Date - Point in time when an activity can start, based on sequence, resource availability, and any other specific schedule constraints.

Finish Date - Point in time when the uncompleted portions of an activity can finish based on the network logic, resource availability, and any other schedule constraints.

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Resources Required - Identify what physical resources are needed to accomplish this WBS element. This column refers to personnel, facilities, equipment, and software (see Resource Plan).

Task Predecessor Element Number – Insert the Task Predecessor Element Number from the Activity Definition and Sequencing Worksheet for the corresponding Element Number inserted in the first column.

Appendix B: Templates

Project Schedule

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Project Title: ______________________ ***Project Working Title:*** ______________________

Proponent Secretary: ______________________ ***Proponent Agency:*** ______________________

Prepared by: ______________________ ***Date / Control Number*** ____________ | ____________

Complete the columns below using information developed in the WBS, OBS, Activity and Sequencing Worksheet, and Resource Plan. Indent subordinate elements in the WBS element column. For example indent all tasks for an Activity and then indent the Sub-Task(s) for the Task. The schedule should address at least three levels of WBS elements. The schedule may be prepared using an automated scheduling tool like Microsoft Project. If an automated tool is used, *format the data entry table to include all of the data elements in the table below.*

Element Number	***WBS Elements Activity, Task, or Sub-Task***	***Estimated Duration (Hours or Days)***	***Start Date***	***Finish Date***	***Resources Required***	***Task Predecessor Element Number***

Appendix B: Templates

Project Scope and Business Objective Worksheet Instructions

The Project Scope and Business Objective Worksheet is not intended to be a project deliverable or an appendix to the project plan. The worksheet is provided to assist the project manager and project team in preparing the project plan. Additional information or modifications to the project scope and objectives should be included in the Project Summary Section of the Project Plan. Project managers, appointed at the time a project is chartered, will conduct a review and analysis of the project scope and objectives as part of the project plan development.

A. General Information - Basic information that identifies the project.

Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

B. Project Scope

1. **Deliverables** – A deliverable is any measurable, tangible, verifiable outcome, result, or item that is required to complete a project or part of a project. The term is often used more narrowly in reference to an external deliverable (i.e. This deliverable is subject to approval by the project sponsor or customer). Analyze the project scope and objectives outlined in the Project Proposal and Charter to develop a list of:
   - ***a)*** *What are the project deliverables?*
   - ***b)*** *Where, when, and to whom are the deliverables provided?*

2. **Project Approach and Solution** – Describe the approach that will be used and whether the project will be done internally or require outside assistance. Analyze the project description and scope to understand the solution and approach to the project to answer the following questions:
   - ***a)*** *What is the process or technology solution proposed?* - Describe the type of process or technology that is to be used.
   - ***b)*** *Who will perform the work?* - Describe who will perform the work.
   - ***c)*** *When and where is the project executed?* - Describe when and where the project work will be done.

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C. Project Business Objectives – Desired result(s) produced by a project that answers or resolves the stated business problem. Using the objectives outlined in the Project Charter, list the objectives and any additional detail necessary to clarify what results the project is intended to attain.

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Project Scope and Business Objective Worksheet

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title - The working name or acronym that will be used for the project; Proponent Secretary - The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Project Title:		***Project Working Title:***		
Proponent Secretary:		***Proponent Agency:***		
Prepared by:		***Date / Control Number:***		

B. Project Scope

1. Deliverables

Analyze the project scope and objectives outlined in the Project Proposal and Charter to understand the Project Deliverables. Answer these questions:

a) What are the Project Deliverables?

b) Where, when, and to whom are the Deliverables provided?

Appendix B: Templates

2. Project Approach and Solution

Analyze the project description and scope to understand the solution and approach to the project. Answer the following questions:

a) What is the process or technology solution proposed?

b) Who will perform the work?

c) When and where is the project executed?

Appendix B: Templates

C. Project Business Objectives

Using the objectives outlined in the Charter, list the objectives and any additional detail as necessary to clarify what results the project is intended to attain.

Appendix B: Templates

Quality Management and IV&V Plan Instructions

A. General Information – Basic information that identifies the project.

<u>*Project Title*</u> – The proper name used to identify this project.

<u>*Project Working Title*</u> – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

<u>*Proponent Secretary*</u> – The Secretary to whom the proponent agency is assigned to or the Secretary that is sponsoring an enterprise project.

<u>*Proponent Agency*</u> – The agency that will be responsible for the management of the project.

<u>*Prepared by*</u> – The person(s) preparing this document.

<u>*Date/Control Number*</u> – The date the plan is finalized and the change or configuration item control number assigned.

B. Product Testing – Describe the Product Testing activities for the project including Testing Overview, Testing Schedule, Team Responsibilities, and Resource Requirements.

1. ***Product Testing Overview*** - Provide a general description of the plans for testing the product(s) developed by the project.
2. ***Product Testing Schedule*** - Define the specific schedule for testing activities and identify the person responsible for the activity. Integrate the Product Test schedule with the Project Schedule.
3. ***Project Team Responsibilities*** - Describe the Product Testing Responsibilities of the Project Team in general and the specific team member assignments such as acceptance test and audit. Cross-reference this information with the organizational breakdown structure, resource plan, and schedule.
4. ***Testing Resource Requirements*** - Describe the resources needed to execute the scheduled testing activities. Cross-reference this information with project resource plan and schedule.

C. Project Audit – Describe the Project Audit activities for the project including Audit Overview, Audit Schedule, Team Responsibilities, and Resource Requirements.

1. ***Project Audit Overview*** - Provide a general description of the plans for auditing the project. Identify what is audited, who conducts the audits, and when the audit is conducted.
2. ***Project Audit Schedule*** - Define the specific schedule for project audits and identify the person responsible for the activity. Integrate the project audit schedule with the project schedule.
3. ***Project Team Responsibilities*** - Describe the project audit responsibilities of the project team in general and the specific team member assignments for project audits. Cross-

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reference this information with the organizational breakdown structure, resource plan, and schedule.

4. ***Project Audit Resource Requirements*** - Describe the resources needed to execute the scheduled audit activities. Cross-reference this information with project resource plan and schedule.

D. Independent Verification and Validation – Describe the Independent Verification and Validation activities for the project including Independent Verification and Validation Overview, Schedule, Team Responsibilities and Resource Requirements.

1. ***Independent Verification and Validation Overview*** **–** Provide a description of the plans for Independent Verification and Validation of the project.
2. ***Independent Verification and Validation Schedule*** **–** Define the specific schedule for independent Verification and Validation of the project and identify the person responsible for the activity. Integrate the Independent Verification and Validation Schedule with the Project Schedule.
3. ***Project Team Responsibilities*** - Describe the Independent Verification and Validation responsibilities of the Project Team in general and the specific team member assignments. Cross-reference this information with the organizational breakdown structure, resource plan, and schedule.
4. ***Independent Verification and Validation Resource Requirements*** - Describe the resources needed to execute the scheduled Independent Verification and Validation activities. Cross-reference this information with project resource plan and schedule.

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Quality Management and IV&V Plan

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Project Title:		***Project Working Title:***	
Proponent Secretary:		***Proponent Agency:***	
Prepared by:		***Date / Control Number:***	

B. Product Testing

Describe the Product Testing activities for the project including Testing Overview, Testing Schedule, Team Responsibilities, and Resource Requirements.

1. Product Testing Overview

Provide a general description of the plans for testing the product(s) developed by the project.

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2. *Product Testing Schedule*

Define the specific schedule for testing activities and identify the person responsible for the activity. Integrate the Product Test Schedule with the Project Schedule.

Activity	***Scheduled Date***	***Responsible Person(s)***

3. *Project Team Responsibilities*

Describe the Product Testing Responsibilities of the Project Team in general and the specific team member assignments. Cross-reference this information with the organizational breakdown structure, resource plan, and schedule.

General Responsibilities:

Team Member	Specific Task

4. *Testing Resource Requirements*

Describe the Resources needed to execute the scheduled testing activities. Cross-reference this information with project resource plan and schedule.

Activity	***Scheduled Date***	***Resources Required***

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C. Project Audit

Describe the Project Audit activities for the project including Audit Overview, Audit Schedule, Team Responsibilities, and Resource Requirements.

1. Project Audit Overview

Provide a general description of the plans for auditing the project. Identify what is audited, who conducts the audit and when the audit is conducted.

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2. Project Audit Schedule

Define the specific schedule for Project Audit and identify the person responsible for the activity. Integrate the Project Audit Schedule with the Project Schedule.

Activity	***Scheduled Date or Phase***	***Responsible Persons***

3. Project Team Responsibilities

Describe the Project Audit responsibilities of the Project Team in general and the specific team member assignments for project audit. Cross-reference this information with the organizational breakdown structure, resource plan, and schedule.

General Responsibilities**:**

Team Member	Specific Task

4. Project Audit Resource Requirements

Describe the resources needed to execute the scheduled audit activities. Cross-reference this information with project resource plan and schedule.

Activity	***Scheduled Date or Phase***	***Resources Required***

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D. Independent Verification and Validation

Describe the Independent Verification and Validation activities for the project including Independent Verification and Validation Overview, Schedule, Team Responsibilities and Resource Requirements.

1. Independent Verification and Validation Overview

Provide a description of the plans for Independent Verification and Validation of the project.

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2. Independent Verification and Validation Schedule

Define the specific schedule for Independent Verification and Validation of the project and identify the person responsible for the activity. Integrate the Independent Verification and Validation Schedule with the Project Schedule.

Activity	***Scheduled Date or Phase***	***Responsible Persons***

3. Project Team Responsibilities

Describe the Independent Verification and Validation Responsibilities of the Project Team in general and the specific team member assignments such as acceptance test and audit. Cross-reference this information with the organizational breakdown structure, resource plan, and schedule.

General Responsibilities:

Team Member	Specific Task

4. Independent Verification and Validation Resource Requirements

Describe the resources needed to execute the scheduled for Independent Verification and Validation activities of the project. Cross-reference this information with project resource plan and schedule.

Activity	***Scheduled Date or Phase***	*Resources Required*

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Resource Plan Instructions

A. General Information – Basic information that identifies the project.

Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

B. Resources Allocated - When the project was chartered a set of resources was identified and committed to the project. Identify the resources, other than funding, allocated in the Project Charter by inserting the allocation and source in the table provided. The resources allocated to the project are found in the Project Charter, Section H. Resources include people, facilities, equipment, and funding. The resource categories provided are Project Team (people), Customer Support (people or man hours) Facilities, Equipment, Software Tools, and Other. The full scope of resources required to execute a project are usually unknown when the Project Charter is developed but are detailed in this plan (see Section B).

C. Detailed Resources Requirements - Using the Work Breakdown Structure and the Organizational Breakdown Structure, develop and provide a detailed breakdown of resources, other than funds, required to execute the project. Identify the cost and time constraints for each resource as well as the level of risk (high, medium or low) associated with that resource. Add as many rows as necessary for each resource category.

Resource – Identify the resources required in each category. Be as specific as possible when identifying resources.

Skill Level or Material Quality – Identify the experience or skill level of people or the acceptable condition level of other resources. An example skill level is *Level 1*. An example of Material Quality is *New*.

Associated Task(s) or Task(s) to Perform – Identify the specific task or tasks that rely on the resource requirement.

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Duration Required – Identify the duration of time (days, weeks, hours) that the resource is needed.

Available Time Period – Identify when (dates) the required resource is available to the project. This column is essential because of the impact on the Project Schedule.

Cost – Identify what the resource will cost for the required period.

Unit of Cost – Identify the basis of cost. Cost may be based on an hourly, daily, weekly, or monthly calculation. Cost may also be fixed or a one time expenditure.

Level of Risk – There is risk associated with attaining and maintaining resources. Provide a subjective indication of the level of risk associated with each resource. The levels of risks are High, Medium, and Low.

D. Summary of Resources Required - Summarize the resources identified in the detail resource plan by the categories used in Section B above.

E. Resources Net Change - Compare Section B and Section C and identify the difference in resources. Provide an explanation for the variance in resources between what is allocated by the Project Charter and resources identified in Section C as required. A variance in the resources required and those allocate pose risk to the plan. The variance may be accommodated through risk mitigation or through reallocation of budgeted funds. The project sponsor should be consulted, if the change is not within the tolerance established by the Project Charter or Policy. The project sponsor or chartering authority will need to review and agree to a change in resource allocation.

Appendix B: Templates

Resource Plan

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Project Title: ____________________ ***Project Working Title:*** ____________

Proponent Secretary: ____________________ ***Proponent Agency:*** ____________

Prepared by: ____________________ ***Date / Control Number:*** ______ | ______

B. Resources Allocated

Insert the information on the resources, other than funding, allocated to the project in the Project Charter (Section H of the Charter).

Resources	***Allocation and Source***
Project Team (Full and Part Time Staff)	
Customer Support	
Facilities	
Equipment	
Software Tools	
Other	

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C. Detailed Resource Requirements

Provide a detailed breakdown of resources, other than funds, required to execute the project. Identify the skill level, associated task, duration required, available time period, cost, unit of cost and the level of risk (high, medium or low) associated with that resource. Add as many rows as necessary for each resource category.

Resource Describe the resource for example: "network engineer."	***Skill Level or Material Quality***	***Associated Task(s)***	***Duration Required***	***Available Time Period***	***Cost***	***Unit of Cost (Hour, Day, Week, Month Fixed)***	***Level of Risk High, Medium or Low***
Project Team							
Customer Support							
Facilities							
Equipment							

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C. Detailed Resource Requirements (Continued)

Resource Describe the resource for example: "network engineer."	***Skill Level or Material Quality***	***Associated Task(s) or Task(s) to Perform***	***Duration Required***	***Available Time Period***	***Cost***	***Unit of Cost (Hour, Day, Week, Month Fixed)***	***Level of Risk High, Medium or Low***
Software Tools							
Other							

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D. Summary of Resources Required

Summarize the resources identified in Section C above.

Resources	***Allocation and Source***
Project Team (Full and Part Time Staff	
Customer Support	
Facilities	
Equipment	
Software Tools	
Other	

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E. Resources Net Change

Provide a breakdown and explanation for any resource where there is a difference between resource allocation in the Project Charter and those identified in Section C above.

Resources	***Resources Allocated***	***Resources Required***	***Net Change***	***Explanation***
Project Team (Full and Part Time Staff)				
Customer Support				
Facilities				
Equipment				
Software Tools				
Other				

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Risk Management Plan Instructions

A. General Information – Basic information that identifies the project.

Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned to or the Secretary that is sponsoring an enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

B. Risk Management Strategy – Describes how risk identification and evaluation is performed, the general mitigation approach, and the plan for maintaining a current risk management plan.

1. ***Risk Identification Process*** – The processes for risk identification.
2. ***Risk Evaluation and Prioritization*** – How risks are evaluated and prioritized.
3. ***Risk Mitigation Options*** – Describe the risk mitigation options. They must be realistic and available to the project team.
4. ***Risk Plan Maintenance*** – Describe how the risk plan is maintained during the project lifecycle.
5. ***Risk Management Responsibilities*** – Identify all project team members with specific risk management responsibilities. (e.g., an individual responsible for updating the plan or an individual assigned as a manager).

C. Risk Analysis Summary – Using the table provided, list each risk identified, the probability of occurrence, the expected impact level, a description of the impact, and when the risk event is likely to occur.

Risk Number - Assign a Risk Number to each risk.

Risk Name - Provide a Risk Name or title for the risk.

Probability of Occurrence – Identify, as a percentage, the likelihood that the risk event will occur.

Impact Level - Provide a value (between 1 and 5) for the impact the risk will have on the project. A value of one (1) is the least impact and a value of five (5) is the highest impact.

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<u>*Impact Description*</u> - Describe the impact of the risk is if it occurs.

<u>*Time Frame*</u> - Estimate the actual date or timeframe in which the risk is most likely to occur. Timeframes are provided in fiscal years and quarters – if known.

D. Risk Responses Summary - Prioritize and describe the plans for responding to each risk identified and evaluated in Section C.

<u>*Risk Priority*</u> - Assign a numeric priority to the risk identified in Section C

<u>*Risk Number*</u> - Copy the Risk Number from Section C for each risk.

<u>*Risk Name*</u> **–** Copy the Risk Name from Section C for each risk.

<u>*Responsible Person*</u> - Identify the person responsible for monitoring the specified risk and executing the mitigation action(s).

<u>*Mitigation Action(s)*</u> - Describe the mitigation action(s) that are taken if the anticipated risk occurs.

<u>*Response Trigger*</u> - Identify an event, report, or activity that will initiate the mitigation action(s) identified in the previous column.

E. Risk Mitigation Cost - Detail the estimated cost for responding to each identified risk. Based on the Risk Response Summary in Section D, identify the total cost of responding to a particular risk using the most likely mitigation strategy and the planned expenditure categories provided in the table.

<u>*Risk Number*</u> - Copy the Risk Number from Section C for all identified risks.

<u>*Risk Name*</u> **–** Copy the Risk Name from Section C for all identified risks.

<u>*Internal Staff Labor*</u>, <u>*Service*</u>, <u>*Development Tools*</u>, <u>*Software*</u>, <u>*Hardware*</u>, <u>*Materials and Supplies*</u>, <u>*Facilities*</u>, <u>*Telecommunications*</u>, <u>*Training*</u> - Identify the planned expenditure for the mitigation actions associated with the identified risk for each of the following (items 3 through 9).

<u>*Total Cost*</u> – Total the cost of responding to each identified risk.

F. Contingency (Risk) Budget - Calculate the Contingency Budget for each fiscal year based on the Probability of Occurrence (from Section C) and the Total Cost for mitigation (from Section E) for each risk. Use one table for each fiscal year and list all risks anticipated for that fiscal year (see Section C). Calculate the Planned Contingency Cost for each risk in the last column, by multiplying the Probability of Occurrence and the Mitigation Cost. Sum the Planned Contingency Cost for all risks anticipated in the fiscal year at the bottom of each table.

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Contingency Budget for FY **–** Enter the correct fiscal year for each table

Risk Number - Copy each Risk Number for a fiscal year from Section C.

Risk Name – Copy each Risk Name for a fiscal year from Section C.

Probability of Occurrence - Copy the Probability of Occurrence for the risk from Section C.

Mitigation Cost – Copy the Total Cost for the risk mitigation from Section E.

Planned Contingency Cost – For each risk calculate the Planned Contingency Cost by multiplying the Probability of Occurrence (Column 3) with the Mitigation Cost (Column 4).

Total – Sum the Planned Contingency Cost for the fiscal year.

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Risk Management Plan

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Project Title:		***Project Working Title:***		
Proponent Secretary:		***Proponent Agency:***		
Prepared by:		***Date / Control Number:***		

B. Risk Management Strategy

1. Risk Identification Process

Describe the process for risk identification.

2. Risk Evaluation and Prioritization

Describe how risks are evaluated and prioritized.

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3. Risk Mitigation Options

Describe, in general terms, the risk mitigation options.

4. Risk Plan Maintenance

Describe the methods for maintaining or updating the risk plan.

5. Risk Management Responsibilities

Identify individuals with specified risk management responsibilities.

Individual	*Responsibility*

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C. Risk Analysis Summary

Using the table provided, list each risk identified, the probability of occurrence, the expected impact level, a description of the impact, and when the risk event is likely to occur.

Risk Number	***Risk Name***	***Probability of Occurrence (Note 1)***	*Impact Level* ***(Note 2)***	***Impact Description***	***Time Frame (Note 3)***

Note:
1. **Probability of Occurrence is the percentage of likelihood that the risk will occur.**
2. **Impact Level is a score of one to five. One is the least impact and five is the highest impact.**
3. **Provide time frames in fiscal years and quarters, if known.**

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D. Risk Response Summary

Prioritize and describe the plans for responding to each risk identified and evaluated in Section C.

Risk Priority	***Risk Number***	***Risk Name***	***Responsible Person***	***Mitigation Action(s)***	***Response Trigger***

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E. Risk Mitigation Cost

Detail the estimated cost for responding to each identified risk. Based on the Risk Response Summary in Section D, identify the cost of responding to a particular risk using the most likely mitigation strategy. The total costs are used to derive the fiscal year contingency budget.

Risk Number	***Risk Name***	***Internal Staff Labor***	***Services***	***Develop-ment Tools***	***Software***	***Hardware***	***Materials and Supplies***	***Facilities***	***Tele-commun-ications***	***Training***	***Total Cost***

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F. Contingency (Risk) Budget

Calculate the Contingency Budget for each fiscal year based on the Probability of Occurrence (from Section C) and the Total Cost for mitigation (from Section E) for each risk. Use one table for each fiscal year and list all risks anticipated for that fiscal year (see Section C). Calculate the Planned Contingency Cost for each risk in the last column, by multiplying the Probability of Occurrence by the Mitigation Cost. Sum the Planned Contingency Cost for all risks anticipated in the fiscal year at the bottom of each table.

Contingency Budget for FY ______				
Risk Number	***Risk Name***	***Probability of Occurrence***	***Mitigation Cost***	***Planned Contingency Cost***
Total				

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F. Contingency (Risk) Budget – continued

Contingency Budget for FY ______				
Risk Number	***Risk Name***	***Probability of Occurrence***	***Mitigation Cost***	***Planned Contingency Cost***
Total				

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F. Contingency (Risk) Budget – continued

Contingency Budget for FY ______				
Risk Number	***Risk Name***	***Probability of Occurrence***	***Mitigation Cost***	***Planned Contingency Cost***
Total				

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F. Contingency (Risk) Budget – continued

Contingency Budget for FY ______				
Risk Number	***Risk Name***	***Probability of Occurrence***	***Mitigation Cost***	***Planned Contingency Cost***
Total				

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Work Breakdown Structure Table Instructions

General Information – Basic information that identifies the project.
Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Complete the columns in the table as described below.
Element Number - A Work Breakdown Structure (WBS) requires that a parent-child (hierarchical) relationship be established. To achieve the parent-child relationship, a simple coding scheme will be used to assign a numerical identification number to each element. For example: the number 1 is assigned to a deliverable or major activity. Subordinate task that make up the next tier would be numbered 1.1 to 1.xxx. The next level below that is 1.1.1 to 1.xxx.xxx and so on until lowest level of decomposition (the work package, normally not more than 80 hours work) is reached. Assign an appropriate Element Number to the Element, Activity, Task, or Sub-Task.

WBS Elements, Activity, Task, or Sub-Task – Give a specific name to the Element, Activity, Task or Sub-Task. Indent Subordinate Elements within this column. For example indent all tasks for an Activity and then indent the Sub-Task for the Task.

Definition of Activity, Task, or Sub-Task (Description) – Define the Activity, Task, or Sub-Task in the previous column.

Responsible Person or Group – Assign responsibility for the WBS Element to a person or group on or associated with the project team. Further decomposition of the WBS Element and cost estimation may be part of the assigned responsibility. The information in this column is used in developing the organizational breakdown structure.

Estimated (E) or Actual (A) Cost – Provide an estimated or actual cost, if known, for the completion of the WBS Element. This column is completed after the decomposition to the lowest task level is complete. Begin at the smallest element and roll up cost to the larger elements. This provides a foundation for the budget (expenditures) plan.

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Project Phase – Most complex projects are executed in phases. Identify the phase in which the WBS Element will occur. The phase must be synchronized with the project schedule.

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Work Breakdown Structure Table

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title - The working name or acronym that will be used for the project; Proponent Secretary - The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the plan is finalized and the change or configuration item control number assigned.

Project Title: ______________________ ***Project Working Title:*** ______________________

Proponent Secretary: ______________________ ***Proponent Agency:*** ______________________

Prepared by: ______________________ ***Date / Control Number:*** ______________________

Element Number	*WBS Elements Activity, Task, or Sub-Task*	*Definition of Activity, Task, or Sub-Task (Description)*	*Responsible Person or Group*	*Estimated (E) or Actual (A) Cost (Cross reference to budget)*	*Project Phase (Cross reference to schedule)*

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Project Execution and Control Templates

Change Control Request Instructions

A. General Information – Basic information that identifies the project.
Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the request is initiated and the change or configuration item control number assigned.

B. Change Request Information - The requester provides information concerning the requested change along with any supportive documentation.

1. ***Proposed Change Description*** - Describe the proposed change.
2. ***Justification for Proposed Change*** - Provide a justification for the proposed change.
3. ***Impact of Not Implementing Proposed Change*** - Explain the impact of not implementing the proposed change.
4. ***Alternatives*** - Identify other actions that may be taken as an alternative to making the proposed change.

C. Analysis of Change Request - The change request originator or other designated individual will provide detailed information on the impact the change will have on the project.

1. ***Describe Impact on Change or Configuration Item*** – Describe the impact on change and configuration control items.
2. ***Impact on Project Budget*** - Detail the impact of implementing the change to the Project Budget.
3. ***Impact on Project Schedule*** – Detail the impact of implementing the change to the Project Schedule.
4. ***Impact on other Project Resources*** – Detail the impact of implementing the change to the other project resources.

D. Change Request Initial Review - A manager within the project organization completes this portion of the request. Typically, the project or program manager reviews the change request. The project manager, program manager, or other designated manager conducts initial review and makes recommendations before the request is submitted to an established change or

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configuration management review board. Results and recommendations based on the review are provided in this section.

E. Final Review Results - The change or configuration management review board conducts a final review and decides to approve or disapprove the request. In the blocks provided, record and authenticate the decision.

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Change Control Request

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the request is initiated and the change or configuration item control number assigned.

Project Title: ______________________ ***Project Working Title:*** ______________________

Proponent Secretary: ______________________ ***Proponent Agency:*** ______________________

Prepared by: ______________________

B. Change Request Information

The requester provides information concerning the requested change along with any supporting documentation.

1. Proposed Change Description

2. Justification for Proposed Change

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3. *Impact of Not Implementing Proposed Change*

4. Alternatives

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C. Analysis of Change Request

The change requester or designated individual provides an explanation of the impact that this change will have on the project.

1. Describe Impact on Change or Configuration Item

2. Impact on Project Budget

3. Impact on Project Schedule

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4. Impact on other Project Resources

D. Change Request Initial Review

The Project Manager, Program Manager, or other designated Manager conducts an initial review and makes a recommendation(s) regarding the implementation of the request before it is proposed to an established Change or Configuration Management Review Body. Results and recommendations based on the review are provided in this section.

Review Date: ______________ Reviewers Name: ________________________________

Reviewer's Position (Project Relationship): ____

___ Approve for Implementation ___ Reject ___ Defer Until: ______________

Rational for Recommendation:

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E. Management Decision

The management conducts a final review and decides to approve or disapprove the request. In the blocks below record and authenticate the decision.

Approval or Disapproval and Special Instructions:

Change or Configuration Management Reviewing Body:

Name: ______________________ Position: _______________ Signature: ______________________

Name: ______________________ Position: ________________ Signature: ______________________

Name: ______________________ Position: ________________ Signature: ______________________

Name: ______________________ Position: ________________ Signature: ______________________

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Issue Management Document Instructions

A. General Information – Basic information that identifies the project.

Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by - The person(s) preparing this document.

Date and Issue Number – The Date the document is initiated and the Issue Number fom the Issue Log that the document is referencing

B. Issue Background - The initiator will identify the issue and provide relevant background information.

1. ***Issue Type*** - Identify the type of issue by marking the appropriate box and providing additional clarification as necessary. The initiator will also enter the date when the issue was identified and the date when a resolution of the issue is required, recommend the best person or organization to resolve the issue, and identify attachments (if any).
2. ***Issued Description*** - Specifically describe the issue.
3. ***Potential Impact*** - Describe the potential impact that the issue will have on the project product or service if it is not resolved.

E. Issue Assignment - In this section, the project manager assigns the issue as an action item.

Date Issue Identified - Record the date that the issue was identified

Date Resolution Required – Record the date when the issue must be resolved

Action Assigned To - Record the who is assigned issue as an action

Project Manager Signature – Project Managers authenticate the assignment with their signature

F. Issue Resolution Alternatives and Recommendations - The person assigned action on the issue will complete this section.

1. ***Issue Resolution Alternatives*** - Provide a written description of alternatives identified that could potentially resolve the issue.
2. ***Recommendation*** - Provide a recommendation for resolving the issue and a rational for the recommendation. The recommendation may initiate a change management action or it may

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suggest other actions to resolve the issue outside of changes to the project plan or configuration items.

4. ***Estimate of Additional Effort*** - Provide an estimate of additional resources required to resolve the issue.
5. ***Signature of Person Making Recommendation*** – Authenticate recommendation by signing the document.

E. Management Action - The project manager or appropriate management team must review each issue and make a decision on what action should be taken. Check the appropriate box and provide written guidance as appropriate.

F. Approval Signature(s) - The person(s) making the decision(s) on the recommendation(s) expressed in Section D. will sign the issue management document. The signatures authenticate the decision, which is outlined in the Management Action, Section E.

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Issue Management Document

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document: Date/ Issue Number – The Date initiated and the Issue Number from Issue Log

Project Title:	______________________	***Project Working Title:***	______________
Proponent Secretary:	______________________	***Proponent Agency:***	______________
Prepared by:	______________________	***Date/ Issue Number (From Issue Log):***	______________

B. Issue Background

The initiator identifies the issue and provides relevant background information.

1. Issue Type (check one):

☐ Technical
(Specify)

Non-technical
☐ Project Planning ☐ Physical Resources ☐ Funding Resources ☐ Procedural
☐ Personnel Resources ☐ Other
(Specify)

Date Issue Identified	
Date Resolution Required	
Proposed Assignee	
Attachments (if any)	☐ NO ☐ YES (number) ______

2. Issue Description

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3. Potential Impact (if not resolved)

C. Issue Assignment

Date Resolution Required	
Action Assigned To	
Project Manager Signature	

D. Issue Resolution Alternatives and Recommendation

The person assigned the issue as an action completes this section.

1. Issue Resolution Alternatives

2. Recommendation

Provide recommendation(s) for resolving the issue and a rational for the recommendation(s).

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3. *Estimate of Additional Effort*

Resources Required	***Work Days/Costs***

4. *Signature of Person Making Recommendation*

Name/Title	***Signature***	***Date***

E. *Management Action and Recommendation*

The project manager or appropriate management team reviews the recommendation and makes a decision. Document management action below by checking the appropriate recommendation status.

☐ Approve

☐ Approve with the following changes:

☐ Defer ☐ Need Additional Information ☐ Disapprove

Recommended Action Assigned to:

Date Resolution Required:

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F. *Approval Signatures*

The signature(s) of the person(s) below authenticates the decision expressed in Management Action (Section E).

Name/Title	***Signature***	***Date***

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Issue Management Log Instructions

The Issue Management Log records and tracks issues identified during project execution. The Issue Log and Issue Management document do not replace Change Control Request. Issue resolution may lead to a project or configuration change; however, resolution of many issues will not involve changes to the Project Plan.

General Information - Basic information that identifies the project.
Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Complete the columns in the table as described below.
Issue Number – Identify the issue with a sequential tracking number.

Issue Description – Provide a brief but specific description of the issue. (See Issue Management Document, Section B.)

Date Identified – Record the date the issue was identified. (See Issue Management Document, Section A.)

Assigned To – Record who is assigned to manage resolution of the issue identified. (See Issue Management Document, Section C.)

Date Resolution Required – Record when resolution of the issue must be completed. (See Issue Management Document, Section C.)

Resolution – When resolved, record the actual resolution of the issue.

Date Resolved – Record the actual date the issue is resolved.

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Issue Management Log

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document.

Project Title: ______________________ ***Project Working Title:*** ______________________

Proponent Secretary: ______________________ ***Proponent Agency:*** ______________________

Prepared by: ______________________

The Issue Management Log is used to record and track issues that are identified during Project Execution. The Issue Log and Issue Management documents do not replace Change Control Request. Complete the information requested in the columns below for each Issue Management Document submitted. Use one row for each issue. When an issue is resolved, document how and when in the last two columns.

Issue Number	***Issue Description***	***Date Identified***	***Assigned To***	***Date Resolution Required***	***Resolution***	***Date Resolved***

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Project Execution and Control Transition Checklist

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the checklist is finalized and the change or configuration item control number assigned.

Project Title: ____________________ ***Project Working Title:*** ____________________

Proponent Secretary: ____________________ ***Proponent Agency:*** ____________________

Prepared by: ____________________ ***Date/ Control Number:*** ____________________

Complete the Status and Comments column. In the Status column indicate: Yes, if the item has been addressed and completed; No, if item has not been addressed, or is incomplete; N/A, if the item is not applicable to this project. Provide comments or describe the plan to resolve the item in the last column.

	Item	***Status***	***Comments/ Plan to Resolve***
1	**Have all activities, tasks, and subtask been completed as specified in the baseline project plan?**		
1.1	If the answer to 1 is No, is there a plan to complete these tasks?		
1.2	If the answer to 1.1 is No, is there an impact on the project delivering the product, good, or service for which it was chartered?		
2	Have all issues raised during the course of the project been closed?		
2.1	If the answer to 2 is No, is there a plan to close out these issues?		
3	Has all documentation supporting the transfer of the project deliverables to operations been completed?		

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	Item	***Status***	***Comments/ Plan to Resolve***
4	Have planning and coordination meetings been held with operations to insure a smooth transition of responsibility?		
5	Has the project met or exceeded performance goals established in the project performance plan?		
5.1	If the answer to 5 is No, is there an impact on project deliverables?		
6	Have all deliverable tests been completed?		
6.1	Did the product deliverables meet the acceptance criteria established in the project plan?		
7	Has a user acceptance document been completed?		
7.1	Has the authorized user authority signed off on acceptance of the deliverables?		
7.2	Were there any conditions or exceptions identified in the user acceptance document?		
7.3	If the answer to 7.2 is Yes, is there a plan to satisfy the conditions or exceptions?		
7.4	If the answer to 7.3 is Yes, is there a need for additional resources or time to satisfy the users conditions? If so, identify the needs in the comment column.		
8	Is a plan in place to conduct the project closeout task?		

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	Item	*Status*	*Comments/ Plan to Resolve*
8.1	Have the project closeout tasks been assigned?		
8.2	Has a date been established when the Project Closeout Report will be completed?		
9	Is there an expectation of administrative or logistics issues during project closeout?		

Signatures

The Signatures of the people below relay an understanding that the key elements within the Planning Phase section are complete and the project team is ready to transition to the Execution Phase.

Position/Title	*Name*	*Date*	*Phone Number*

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Project Status Report Instructions

The Project Status Report is a means of communicating regularly the ongoing progress and status of a project. Normally Project Status Reports are prepared on a weekly or biweekly basis. The overall project status is communicated to all team members using the Project Status Report. The same report may be used to communicate the project status to managers and other stakeholders. (Major IT projects, under project oversight, will use the Commonwealth Major IT Project Status Report Dashboard for executive status reporting.)

A. General Information – Basic information that identifies the project.
Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Reporting Period – Enter the From and To dates in the format MM/DD/YY for the current reporting period.

B. Previous Period Activity Status - Provide a list of previous period activities. Activities should have clear links to the Work Breakdown Structure, Issue Resolution, Risk Mitigation, and Project Schedule. The previous period activity status can be extracted from the Current Period Activity Status reported in the last project status report. This information provides a review of past activity and provides context for the current period status.

C. Current Period Activity Status - Provide a list of current period activities. Activities should have clear links to the Work Breakdown Structure, Issue Resolution, Risk Mitigation, Project Schedule, and planned activities identified in the previous report. This information describes what activities were undertaken during the period just completed.

D. Significant Accomplishments for Current Period - Summarize any significant accomplishments of the project during the reporting period. Describe what was achieved from the activities undertaken during the past period.

E. Planned Activities for Next Period - Provide a list of the next reporting period activities. This is a review of what is in the Project Schedule.

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F. Non-technical Project Issues - List and describe non-technical project management issues that have been identified and are not resolved. Identify progress made toward resolution of the issues or actions required to resolve the issues. All issues are detailed in an Issue Management Document and recorded in an Issue Management Log.

G. Technical Project Issues - List and describe technical issues that have been identified and have not been resolved. Identify progress made toward resolution of the issues or actions required to resolve the issues. All issues are detailed in an Issue Management Document and recorded in the Issue Management Log.

H. Action Items - Report on actions assigned and executed to resolve project issues. Describe what the issue was, what action was taken, who was responsible, and what were the results.

I. Risk Status - Identify the Risk Status changes since the last status report. Risk Status changes includes changes in probability of occurrence or impact. List and describe any new risk event identified during the reporting period. The Risk Plan provides direction, identifies risk, mitigation plans, and assigns responsibility for routinely monitoring identified risk.

J. Resource Usage - Provide Man-Hours Expended and any other resources consumed in performance of activities or actions occurring in the past reporting period.

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Project Status Report

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary –The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document.

Project Title: ______________________________ ***Project Working Title:*** ____________________

Proponent Secretary: ______________________________ ***Proponent Agency:*** ____________________

Prepared by: ______________________________

Reporting Period ***From***: ___/___/___ ***To:*** ___/___/___

B. Previous Period Activity Status

Provide a list of Previous Reporting Period Activities and the status of each. Activities should have clear links to the Work Breakdown Structure, Issue Management, Risk Mitigation, Project Schedule, and the Current Period Activity Status of the last report.

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C. Current Period Activity Status

Provide a list of Current Reporting Period Activities and the status of each. Activities should have clear links to the Work Breakdown Structure, Issue Management, Risk Mitigation, and Project Schedule.

D. Significant Accomplishments for Current Period

Summarize any Significant Accomplishments during the Current Reporting Period.

E. Planned Activities for Next Period

Provide a list of Activities Planned for the next reporting period and the status of each. Activities should have clear links to the Work Breakdown Structure, Issue Management, Risk Mitigation, and Project Schedule.

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F. Non-technical Project Issues

List and describe any Non-Technical Issues impacting the project at this point.

G. Technical Project Issues

List and describe any Technical Issues impacting the project at this point.

H. Action Items

Identify all open Action Items and any Action Items closed during the reporting period.

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I. Risk Status

Identify any changes in Risk Status. Risk Status changes includes changes in probability of occurrence or impact. List and describe any new risk event identified during the reporting period.

J. Resource Usage

Provide Man-Hours Expended and any other resources consumed in performance of activities or actions occurring in the current reporting period.

Task or Issue Number	***Activity or Task***	***Percentage Complete***	***Man-Hours Expended***	***Other Resources Consumed***

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User Acceptance Report Instructions

A. General Information – Basic information that identifies the project.
Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring a particular enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – The person(s) preparing this document.

Date/Control Number – The date the report is finalized and the change or configuration item control number assigned.

B. Project Deliverables and Acceptance Criteria Validation - In the first column, list the Project Deliverables specified in the Project Performance Plan. List the user Acceptance Criteria for each Deliverable in the second column. Based on the user evaluation of the deliverable in the third column indicate, with a Yes or No, whether each acceptance criteria has been meet.

C. Outstanding Issues and Resolution Plan - For each acceptance criteria that was not met provide a description of the outstanding issues and describe plans to resolve, the outstanding issues if the issue exist after Project Closeout.

D. Acceptance Signatures - The signatures signify that the deliverables described in the Project Plan and listed in B. above are acceptable to the user in their current configuration. The undersigned agree to the resolution plans for any outstanding issues as described in C above.

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User Acceptance Report

A. *General Information*

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary –The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document Date/Control Number – The date the report is finalized and the change or configuration item control number assigned.

Project Title:		***Project Working Title:***	
Proponent Secretary:		***Proponent Agency:***	
Prepared by:		***Date/ Control Number:***	

B. Project Deliverables and Acceptance Criteria Validation

In the first column, list the Project Deliverables specified in the Project Performance Plan. List the user Acceptance Criteria for each Deliverable in the second column. In the third column, indicate the Results of User Evaluation of the deliverable by indicating with a Yes or No if each part of the acceptance criteria has been meet.

Deliverable	***Acceptance Criteria***	***Results of User Evaluation***

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C. Outstanding Issues and Resolution Plan

Provide a description of the Outstanding Issues related to the Deliverable Acceptance Criteria. Describe any plans to resolve standing issues if they exist after Project Closeout.

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D. Acceptance Signatures

The signatures below signify that the deliverables described in the Project Plan and listed in Section above are acceptable to the user in their current configuration. The undersigned agree to the resolution plans for any outstanding issues as described in Section C above.

Position/Title	***Signature/Printed Name/Title***	***Date***
User Representative		
Proponent Agency Head		
Project Sponsor (required)		
Project Manager (required)		
Business Partner (Contractor)		

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Project Closeout Templates

Project Closeout Report Instructions

A. General Information – Basic information that identifies the project.

Project Title – The proper name used to identify this project.

Project Working Title – The working name or acronym used to identify the project. If an acronym is used, define the specific meaning of each letter.

Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project.

Proponent Agency – The agency that will be responsible for the management of the project.

Prepared by – the person(s) preparing this document.

Date/Control Number – The date the report is finalized and the change or configuration item control number assigned.

B. Project Deliverables - List all product or service deliverables in the first column. In the second column record the date that each deliverable listed in the first column was accepted. Describe any contingencies or conditions related to the acceptance of the deliverables listed in the first column.

C. Performance Baseline - Evaluate how the project performed against each of the performance goals established in the Project Performance Plan. Copy the first two columns from the Project Performance Plan. In the third column, record the results of the measurement of performance prescribed in the Project Performance Plan.

D. Cost (Budget) Baseline - State the actual cost of the project and compare it to the planned cost baseline. In the Variance column, record the difference between planned and actual cost. Provide the reason for the variance in the Explanation column. Include in the explanation information on any approved changes to the cost baseline and their impact on the project.

E. Schedule Baseline - Compare the initial approved schedule baseline against the actual completion dates. Extract the WBS Elements, Start Dates, and Finish Dates from the baseline schedule and record them in the WBS Element, Planned Start Date, and Planned Finish Date Columns. Record the Actual Start Date and Actual Finish Date for each WBS element in the columns with those headings. In the Explanation for Change column, provide a brief reason for any differences and describe the impact on the project.

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F. Scope - Document any changes to the project scope and describe the impact of each change on performance, cost, or schedule baselines in the appropriate column.

G. Operations and Maintenance - Describe the plan for operation and maintenance of the product, goods, or service delivered by the project. State the estimated annual cost to operate and maintain the product, good, or service. If the estimated cost differs from the original cost estimate in the project proposal, identify where and why the estimated cost differs. If the operation and maintenance plan is not in place, specify when the plan will be completed and what the impact is of not having a plan for the operations and maintenance of the product, goods, or services delivered.

H. Project Resources - List the resources used by the project in the first column. In the second column, identify to whom the resource was transferred. In the next column, indicate when the resource was transferred. Account for all project resources specified in the Resource Plan and utilized by the project.

I. Project Documentation - Identify all project documentation materials stored in the project library or other repository. Identify the type of media used and the disposition of the project documentation (see Communications Plan).

J. Lessons Learned - Identify lessons learned for feedback to the Commonwealth Project Management process. Lessons learned are identified as problems (or issues). Provide a brief discussion of the problem that identifies its nature, source, and impact. Site any references that provide additional detail. References may include project reports, plans, issue logs, change management documents, and general literature or guidance used that comes from another source. Record the corrective actions taken and results in the last column.

K. Dates for Post Implementation Review and Report - Identify the date for completing the post implementation report and the person responsible for this action.

L. Approvals - The person(s) making the report authenticate its contents by signing as appropriate.

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Project Closeout Report

A. General Information

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the report is finalized and the change or configuration item control number assigned.

Project Title: ______________________ ***Project Working Title:*** ____________________

Proponent Secretary: ______________________ ***Proponent Agency:*** ____________________

Prepared by: ______________________ ***Date/ Control Number:*** __________ | __________

B. Project Deliverables

List all Project Deliverables and the date each was accepted by the user. Identify any contingencies or conditions related to the acceptance.

Deliverable	*Date Accepted*	*Contingencies or Conditions*

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C. Performance Baseline

Document how the project performed against each Performance Goal established in the Project Performance Plan.

Project Business Objective	***Performance Goal***	***Results***

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D. Cost (Budget) Baseline

State the Planned Cost and Funding for the project, as approved in the Initial Cost Baseline and the Project Charter. State the Actual Cost and Funding at completion. Document and explain all cost and funding variances, including approved changes to the cost baseline.

Expenditures ($000)				
	Planned	***Actual***	***Variance***	***Explanation***
Internal Staff Labor				
Services				
Software Tools				
Hardware				
Materials and Supplies				
Facilities				
Telecommunications				
Training				
Contingency (Risk)				
Total				

Funding Source ($000)				
	Planned	***Actual***	***Variance***	***Explanation***
General Fund				
Non-General Fund				
Federal				
Other				
Total				

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E. Schedule Baseline

Compare the initial approved schedule baseline against the actual completion dates. Enter the planned start and finish dates from the initial schedule baseline. Document all actual start, finish dates, and explain any schedule variances, including approved changes to the schedule baseline

WBS Elements Activity or Task	***Planned Start Date***	***Actual Start Date***	***Planned Finish Date***	***Actual Finish Date***	**Variance**	***Explanation of Variance***

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F. Scope

Document any changes to the Project Scope and their impact on Performance, Cost, or Schedule Baselines.

Scope Change	***Impact of Scope Change***

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G. Operations and Maintenance

Describe the plan for operation and maintenance of the product, good, or service delivered by the project. State the projected annual cost to operate and maintain the product, good, or service. Identify where and why this projection of cost differs (if it differs) from the Project Proposal. If the operation and maintenance plan is not in place, what is the target date for the plan and what is the impact of not having operations and maintenance for the product, good, or services in place.

1. Operations and Maintenance Plan

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2. Operations and Maintenance Cost

Expenditures ($000)				
	Planned	***Actual***	***Variance***	***Explanation***
Internal Staff Labor				
Services				
Software Tools				
Hardware				
Materials and Supplies				
Facilities				
Telecommunications				
Training				
Contingency (Risk)				
Total				

Funding Source ($000)				
	Planned	***Actual***	***Variance***	***Explanation***
General Fund				
Non-General Fund				
Federal				
Other				
Total				

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H. Project Resources

List the Resources specified in the Resource Plan and used by the project. Identify to whom each resource was transferred and when it was transferred. Account for all project resources utilized by the project.

***Resource* (*Describe or name the resource used*)**	***Person or Organization Who Received Resource***	***Turnover Date***
Project Team		
Customer Support		
Facilities		
Equipment		
Software Tools		
Other		

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I. Project Documentation

Identify all project documentation materials stored in the project library or other repository. Identify the type of media used and the disposition of the project documentation (see Communications Plan).

Report(s) and Document(s)	***Media Used***	***Storage Location***	***Disposition***

J. Lessons Learned

Identify Lessons Learned for feedback to the Commonwealth Project Management process. Lessons Learned should be stated in terms of Problems (or issues) and Corrective Actions taken. Provide a brief discussion of the problem that identifies its nature, source, and impact. Site any references that provide additional detail. References may include project reports, plans, issue logs, change management documents, and general literature or guidance used that comes from another source.

Statement of Problem	***Discussion***	***References***	***Corrective Actions***

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K. Dates for Post Implementation Review and Report

Identify the date for completing the post implementation report and the person responsible for this action.

Action	*Date*	*Responsible Person*
Post - Implementation Review		
Post - Implementation Report		

L. Approvals

Position/Title	*Signature/Printed Name/Title*	*Date*
Project Manager		
Project Sponsor		
Program/Agency Management		

Appendix B: Templates

Project Closeout Transition Checklist

Provide basic information about the project including: Project Title – The proper name used to identify this project; Project Working Title – The working name or acronym that will be used for the project; Proponent Secretary – The Secretary to whom the proponent agency is assigned or the Secretary that is sponsoring an enterprise project; Proponent Agency – The agency that will be responsible for the management of the project; Prepared by – The person(s) preparing this document; Date/Control Number – The date the checklist is finalized and the change or configuration item control number assigned.

Project Title: ______________________ ***Project Working Title:*** ______________________

Proponent Secretary: ______________________ ***Proponent Agency:*** ______________________

Prepared by: ______________________ ***Date/ Control Number:*** ____________ | ____________

Complete the Status and Comments column. In the Status column indicate: Yes, if the item has been addressed and completed; No, if item has not been addressed, or is incomplete; N/A, if the item is not applicable to this project. Provide comments or describe the plan to resolve the item in the last column.

	Item	***Status***	***Comments/ Plan to Resolve***
1	Have all the product or service deliverables been accepted by the customer?		
1.1	Are there contingencies or conditions related to the acceptance? If so, describe in the Comments.		
2	Has the project been evaluated against each performance goal established in the project performance plan?		
3	Has the actual cost of the project been tallied and compared to the approved cost baseline?		
3.1	Have all approved changes to the cost baseline been identified and their impact on the project documented?		

Appendix B: Templates

	Item	***Status***	***Comments/ Plan to Resolve***
4	Have the actual milestone completion dates been compared to the approved schedule?		
4.1	Have all approved changes to the schedule baseline been identified and their impact on the project documented?		
5	Have all approved changes to the project scope been identified and their impact on the performance, cost, and schedule baselines documented?		
6	Has operations management formally accepted responsibility for operating and maintaining the product(s) or service(s) delivered by the project?		
6.1	Has the documentation relating to operation and maintenance of the product(s) or service(s) been delivered to, and accepted by, operations management?		
6.2	Has training and knowledge transfer of the operations organization been completed?		
6.3	Does the projected annual cost to operate and maintain the product(s) or service(s) differ from the estimate provided in the project proposal? If so, note and explain the difference in the Comments column.		
7	Have the resources used by the project been transferred to other units within the organization?		

Appendix B: Templates

	Item	*Status*	*Comments/ Plan to Resolve*
8	Has the project documentation been archived or otherwise disposed as described in the project plan?		
9	Have the lessons learned been documented in accordance with the Commonwealth Project Management guideline?		
10	Has the date for the post-implementation review been set?		
10.1	Has the person or unit responsible for conducting the post-implementation review been identified?		

Signatures

The Signatures of the people below relay an understanding that the key elements within the Closeout Phase section are complete and the project has been formally closed.

Position/Title	*Name*	*Date*	*Phone Number*